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A CASE STUDY OF THE FEDERAL RESPONSE TO THE EDUCATION COMPONENT IN THE MODEL CITIES PROGRAM

By

Oscar Lugrie Mims

AN ABSTRACT

Introduction

The Model Cities Program was conceived as a way of dealing with the grave problems existing in urban areas and the disappointing results of the some 400 Federal grant-in-aid programs. It promised the cities much greater freedom to use Federal funds in poor neighborhoods in the ways that local people thought best. Unfortunately, the execution of the Model Cities Program has fallen short of its promise.

Many reasons and excuses can be given for the failure of the Model Cities Program to achieve its intended goals. The present study was conducted for the purpose of discovering, in as objective a manner as possible, the major variables affecting the education component of Model Cities. The study was exploratory in nature, utilizing such methods as interviews, observation of committee meetings, examination of government documents, journals, reports, memoranda, and other correspondence material in collecting the data.

The major objective of this study was to discover answers to the questions concerning (1) an explanation of the processes involved in reaching the conclusion as to the comprehensiveness of the urban educational programs in the Model Cities programs; (2) the identification of the major variables affecting the education component of Model Cities from the Fall of 1966, through the Summer of 1970; and (3) the identification of strategies that can be employed

at the federal level which would have the potential of mobilizing fiscal and human resources at the University, state and federal levels to achieve comprehensive urban education programs based on local needs of the Model neighborhoods.

The investigation utilized a case study approach that focused on two major aspects of the problem. The origination of the problem came from the investigator's encounters with persons and publications related to the Model Cities program. From these encounters, it was found that by the Summer of 1970 the conclusion was reached, and stated, that "the plans submitted by the Model Neighborhoods did not reflect comprehensive urban education programs utilizing the most effective mix of categorical grants and supplemental funds focusing on local needs." This conclusion generated two questions, namely: (1) what were the procedures in reaching such a conclusion, and (2) what were the major variables effecting the education component of Model Cities which could have caused a state of affairs represented in this conclusion?

In general, the data analyzed indicated that the cities appeared not to be submitting comprehensive urban education plans.

Recommendations

This study was conducted for the purpose of discovering, in as objective a manner as possible, the major variables affecting the education component of Model Cities, Because of the exploratory nature of the study, the broad range of sources utilized in order to obtain the necessary information,and the newness and complexity of the Model Cities Program, the recommendations must be considered as tentative additional steps which may be helpful in successfully guiding Model Cities' future course of action in achieving its intended goal.

1. Major emphasis at the Federal level should be placed upon the establishment and strengthening of those agency linkages that will lead to more effective implementation of the following activities: (1) technical assistance to CDAs, (2) earmarking of additional funds for use within model neighborhoods, (3) development of local coordination plans for review of programs operating in model neighborhoods, and (4) the development of simplified application handling procedures.

2. Further investigation should be conducted into the validity and reliability of the operational definition of a "comprehensive urban education plan" utilized in this investigation. To the extent that this investigator's assumptions are verified by additional studies, this operational definition could become extremely useful in restructuring urban education planning activities throughout the nation.

3. Universities and colleges are potential Model Cities resources that appear to be significantly under-utilized. Up until this time, there has been only minimal university involvement in Model Cities and this has been spread over a limited number of predominantely white universities and colleges. It is recommended that efforts be made to significantly increase the utilization of university and college resources within the Model Cities Program. Examples of resources that might be available from universities are: (1) the collection and dissemination of information, (2) the design, implementation and evaluation of training programs at the federal, state and local levels, (3) assessment of local needs, (4) resource identification, (5) credentialing of program participants, (6) independent evaluation studies, (7) assistance in proposal development, and (8) dissertation research into Model City related topics.

4. One of the major difficulties in conducting this investigation was the difficulty in obtaining information related to the effectiveness of the education component within Model Cities. Utilizing this investigation as a part of a comprehensive information base, it is recommended that the HUD/Model Cities establish a systematic approach to the collection and dissemination of useable information designed to provide the necessary data to evaluate the effectiveness of its educational component.

5. At this point, a coordinated state response to the educational components of Model Cities ranges from minimal to none at all; yet, the state provides an ideal legal, geographic and political setting for providing useful assistance to Model Cities. The U.S. Office of Education reported that approximately 90% of the U.S. Office of Education funds go through the state education agencies for fiscal and programmatic control purposes, and yet this investigation revealed that only 8 of the 44 state departments of education have attempted to play significant roles in assisting CDAs in the development of comprehensive urban education programs. It is recommended that efforts be made to effectively channel the extensive leverage that is available within State Departments of Education into the support of Model Cities Programs. Examples of the various types of support that might be provided by State Departments of Education are: (1) technical assistance in local planning and development of comprehensive urban programs, (2) state level coordination of earmarking efforts, and (3) the development and coordination of priority processing systems for educational proposals from model neighborhoods.

A CASE STUDY OF THE FEDERAL RESPONSE TO THE EDUCATION COMPONENT IN THE MODEL CITIES PROGRAM

A Dissertation Presented

By

Oscar Lugrie Mims

Submitted to the Graduate School of the
University of Massachusetts in
partial fulfillment of the requirements for the degree of

DOCTOR OF EDUCATION

January, 1971

EDUCATION, ADMINISTRATION

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A CASE STUDY OF THE FEDERAL RESPONSE

TO THE EDUCATION COMPONENT IN THE MODEL CITIES PROGRAM

A Dissertation

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January, 1971

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The completion of an unique exploratory study such as this depended upon the assistance and cooperation of many persons.

The investigator wishes to thank the various Federal, State, university and local officials for the time, thought and encouragement they have given to expedite this study.

The writer is particularly appreciative to Dr. A. Neal Shedd and the members on the Urban Education Committee of the U. S. Office of Education and the Executive Staff of Model Cities in the U. S. Department of Housing and Urban Development who made time and pertinent documents available. He is deeply indebted to the members of his Dissertation Advisory Committee for their wise counsel and valuable suggestions which were reflected throughout the entire writing process. He is especially grateful for the keen interest constructive criticisms, and individualized assistance received from Roger Peck, William Lauroesch, and Arthur Eve.

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o.l.m.

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It was the age of wisdom, it was the age of foolishness;
It was the epoch of belief, it was the epoch of incredulity;
It was the season of darkness; it was the spring of hope,
It was the winter of despair.

- Charles Dickens

CHAPTER I

INTRODUCTION

Background

Today's urban school crisis is not unique to any city, state, or region. It resides in Boston, Chicago, New York, Seattle, and Denver, as well as all of the rest of the nation's major metropolitan areas. Also, this urban crisis extends beyond the schools and is inextricably related to other broad, complex and unresolved problems affecting the quality of life available to the citizens of the city.[1] These interrelated problems such as, inadequate financing, increased enrollments, discrimination in housing and jobs, and poor health conditions, have all existed for a considerable period of time. Long festering, these infections are now unavoidably visible on the national scene.

In 1966 the Congress of the United States declared that

> . . .improving the quality of urban life is the most critical domestic problem facing the United States. The persistence of wide-spread urban slums and blight, the concentration of persons of low income in older urban

---

[1] Task Force on Urban Education, Schools of the Urban Crisis, Washington, D. C.: National Education Association (NEA), 1970, p. 1.

> areas, and the unmet needs for additional housing and community facilities and services arising from rapid expansion or our urban population have resulted in a marked deterioration in the quality of the environment and the lives of large numbers of our people while the Nation as a whole prospers.[2]

The Congress also declared that the cities of all sizes did not have adequate resources to deal effectively with the critical problems facing them, and that Federal assistance in addition to that which had been authorized by the urban renewal program and other existing Federal grant-in-aid programs was essential to "enable cities to plan, develop, and conduct programs to improve their physical environment, increase their supply of adequate housing for low and moderate-income people, and provide educational and social services vital to health and welfare."[3]

These Congressional declarations constitute the summary of findings which resulted in the Title I portion of the Demonstration Cities and Metropolitan Development Act of 1966. This is the portion of the Act which encompasses the Comprehensive City Demonstration Programs, commonly known as the Model Cities Program. In the opinion of the author of this report, the Title I portion of this Act provided the most promising Federal response to comprehensive urban planning ever

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[2]U. S. Department of Housing and Urban Development, Improving the Quality of Urban Life: A Program Guide to Model Neighborhoods in Demonstration Cities, December 1967, Appendix A.

[3]Ibid.

conceived in modern United States history. The act provided for a new program designed to demonstrate how the living environment and the general welfare of people living in slum and blighted neighborhoods can be improved substantially in cities of all sizes and in all parts of the country. It called for a comprehensive attack on social, economic, and physical problems in selected slum and blighted areas through concentration and coordination of Federal, State, local and private efforts.

The statute provided for financial and technical assistance to enable cities to plan, develop, and carry out comprehensive local programs containing new and imaginative proposals to develop "model" neighborhoods. Through establishing a City Demonstration Agency (CDA) under the authority of the City Government, the Demonstration Cities and Metropolitan Development Act of 1966 (Public Law 89-754) marked a turning-point in the development of Federal legislation relating to intergovernmental coordination and comprehensive local planning.

A search through the statutory and administrative rules which govern the use of the Model Cities funds, (Section 101, 103(a), 105(d) and 106) reveals that the City Demonstration Agency (CDA) has a clear incentive to devise new and innovative projects to reorient existing resources to better uses, and to mobilize additional resources. Ideally, CDA's should utilize the Supplemental funds to finance the "unthinkable" educational projects. They also have an incentive <u>to promote maximal utilization</u> of existing categorical grant programs in the model

neighborhoods. This incentive is of vital importance, for up until the enactment of Public Law 89-754, the structure of the Federal Government had reflected an accumulation of separate bureaucracies and a proliferation of categorical grant programs, created by independent legislative enactments over the years. These programs have seemed to defy any well-planned functional alignments.

While speaking on this dire state of affairs, Moynihan remarked that there is a certain nonlinerarity in the relationship between the number of categorical aid programs issuing forth from Washington and the degree of social satisfaction that has ensued.[4]

The Education Component of Model Cities

The education component of Model Cities has attracted national attention because cities have generally attached an important role to education in the development of Model neighborhoods. This was apparent from the findings of a recent survey which revealed that an estimated 24 percent of the total supplemental funds are presently being used to support educational projects.[5]

Through the education component of Model Cities, the Model neighborhoods were provided with the mechanism to solve their problems through comprehensive urban educational programs. This potential

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[4] Daniel P. Moynihan, Address on the Occasion of the Annual Honors Convocation, Syracuse University, May 8, 1969.

[5] Oscar L. Mims, "Model Cities: Funding Trends and Fiscal Projections in Education" (unpublished report, HUD/Model Cities, 1969), p.5.

existed because the major educational thrust of Model Cities is one of involving the planning and implementation of comprehensive urban education programs utilizing the most effective mix of Categorical Grants and Supplemental funds with a combined focus on real needs and effective institutional change.

While the Federal Categorical Grant programs were basically function-specific, local problems were most often situation-specific, which required unique mixtures of categorical grant programs. Hence, the categorical grant system was not easily adaptable to the coordinated comprehensive effort that was needed. CDA's were asked to look upon this program as an opportunity to experiment, to design educational laboratories for testing and refining new and better methods for improving the quality of urban education. Cities were offered the opportunity to search out and develop ways of reaching the slum dweller and improving his condition of life; new approaches to making the administration of the entire city more efficient, effective, and social responsive; and new methods for using modern technology to meet local problems.

A Present Look at Model Cities

While Title I of the Demonstration Cities and Metropolitan Development Act of 1966 provided the cities with a mechanism for improving living conditions for the people who live in urban centers through the most effective and economical concentration and coordination of

Federal, State, local, public and private efforts to improve the quality of urban life, a gap exists between idealistically stated goals of a program and the actual functioning or outcomes of the program.

This gap appears to be existing in the Model Cities program. In April, 1969 Secretary Romney stated:

> The Model Cities program is an ambitious effort. It seeks to coordinate a vast array of Federal programs, to concentrate their impact on specific depressed urban neighborhoods, and to make local governments stronger and more flexible.
>
> My Committee on Model Cities of the Council for Urban Affairs has been intensively examining the program. Its study has shown that the program's goals are sound, but that there have been critical deficiencies in its administration which call for immediate correction.[6]

In this statement Secretary Romney listed four critical deficiencies which called for immediate correction:

1. Federal agencies have not been sufficiently responsive to local proposals reflecting specific local conditions.
2. In developing their proposals, local authorities have been hindered by uncertainty as to the amounts of funds that would be available from the Federal departments.
3. Few effective attempts have been made to secure the involvement of State government.

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[6] Press Release, HUD News, April 28, 1969, pp. 1-4.

4. Federal guidelines have forced cities to set model neighborhood boundaries that often have been arbitrary, and that have created unnecessary divisions among Model Cities residents.[7]

The Banfield Report, released in August 1970, made the following statement:

> In short, the model cities program was conceived as a way of dealing with the grave problems that we have been discussing. It promised the cities much greater freedom to use federal funds in poor neighborhoods in the ways that local people thought best. In our opinion, it was--in its conception--a long step in the right direction.
>
> Unfortunately, its execution has fallen short of its promise.[8]

The report goes on to explain that one of the main causes for the program's falling short of its promise was the requirement of the cities to follow very elaborate and stringent federal regulations. The author of the report did feel that the Model Cities were able to work through these regulations and still reach some of the locally defined goals of their programs. In referring to this point, the report states:

> Despite over-regulation and under-support, the model cities program has made a useful contribution. It has succeeded in making some city halls more aware of the special problems of poor neighborhoods; it has brought some mayors and citizens groups into mutually advantageous relations; it has given some encouragement to the improvement of management methods, and, especially in the larger cities, it has given rise to some projects that are both new and promising. . . on the whole the model cities proposals, although they do not open new vistas, compare very favorably with the general run of proposals being supported by other federal programs and by local governments.[9]

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[7] Ibid.

[8] Edward C. Banfield, Model Cities: A Step Towards the New Federalism (Washington, D. C.: U. S. Government Printing Office, 1970), p. 10.

[9] Ibid., p. 11.

The report goes on to say that, in summary, the model cities program is better than what has gone before.

In light of the fact that one of the major thrusts of the Model Cities Act was to provide an incentive and mechanism for comprehensive urban programs, Banfield, et al. draw an interesting conclusion from their findings. These authors state that "the Federal pressure to be 'comprehensive' resulted in a spread of small projects rather than in a concentration of effort."[10]

Joseph Barr and Charles Hill had submitted a supplementary statement to the above-mentioned "Banfield Report." These two authors' statements are much more positive toward the accomplishments of the Model Cities program. They state that the Model Cities planning process has (1) resulted in a reallocation of local resources to poverty areas; (2) served as a buffer for Mayors in resisting "pet" projects; (3) provided a forum for dialogue and negotiation with residents of the affected neighborhoods; and (4) resulted in some improvement in the local capacity to coordinate departments of local government and other public bodies.[11] Although Messrs. Barr and Hill did agree, in general, with the recommendations made by the majority, they felt that any failures to date attributable to Model Cities program have centered largely on the lack of response of those agencies controlling more than 400 categorical grant programs, rather than the Model Cities

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[10] Ibid., p. 8.

[11] Ibid., pp. 17-18.

Administration of HUD.[12] They further stated that, "because of its flexibility, Model Cities has laid bare the inadequacy of the Federal system to respond to the needs of the cities in channeling categorical grants into the Model Cities effort."[13]

In general most of the authors in reporting on the Model Cities program agree that the goals of the Model Cities Act are sound, and they recommend that the program be continued. There is also general agreement that there is a substantial gap between the idealist goals of the program and the actual achievements being made.

A Present Look at the Education Component of Model Cities

From this point this document will focus on one aspect of the Model Cities program, namely the educational component.

As mentioned previously, the Model Cities generally have attached an important role to education in the development of Model neighborhoods, as evidenced by the high percent of the total supplemental funds being used to support educational projects. Ideally, the major educational thrust of the Model Cities process is one of utilizing the most effective mix of Categorical Grant and Supplemental Funds with a combined focus on real needs and effective institutional change. Usually a local mechanism, such as an education task force consisting of lay persons as well as educators, was provided for the planning and implementation of comprehensive urban education programs.

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[12] Ibid., p. 18.

[13] Ibid.

Again, the education component of Model Cities appears to reflect the above-mentioned findings concerning the Model Cities program in general. Yet, a significant gap exists between the ideal goals and the actual operation of the programs. Although Model Cities planning required cities to assess local needs and to design comprehensive urban educational programs to respond to those needs, this objective had not been met by July, 1969.[14]

Preliminary surveys showed that a significant amount of the supplemental funds for education (approximately 24 percent of the total supplemental funds) had gone for projects which could have legally been funded under a broad selection of categorical grants from other Federal Departments and/or State Agencies.[15] By April, 1970, the following conclusion was made:

> . . .a significant number of cities requested the use of supplemental funds for supporting projects which fell in the categories where Federal Grant-in-aid Programs exist. When considering the utilization of the State Plan Formula programs, we can conclude that nearly 100% of the educational projects presently being funded through supplemental funds could have legally been funded through the Categorical Grant system.[16]

Several other reports conclude that Model neighborhoods are not developing comprehensive urban education plans.[17]

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[14] Model Cities End of Year Report, Fiscal Year 1969, U. S. Department of Housing and Urban Development, p. 6.

[15] Mims, op. cit., p. 15.

[16] Memo to Donald G. Dodge, from Oscar L. Mims; Subject: Use of Supplemental Funds -- Education.

[17] Ibid. Also see the report of the U. S. Office of Education "Commissioner's May 22 Meeting on Objective #2--Programs for the Disadvantaged."

This conclusion raises several questions. Given such a complex concept as "comprehensive urban education planning," which almost defies any attempt at defining it, how was such a conclusion reached? What criteria were used? How would one know a comprehensive urban education plan if he saw one? Is a comprehensive urban education plan within the realm of the possible?

The fact that there is a significant gap between the ideal goals of the Model Cities Act and the actual operation of local programs also raises several questions. In the development of the education component of the Model neighborhood plans, why has it been so difficult to achieve an effective mix of Categorical Grants and Supplemental funds with a focus on real local needs? Who have been the major actors at the local, state and federal levels who have prevented achievement of an effective mix? In general, what steps should be taken now to redirect movement toward the ideal goal of the Model Cities program? In specific, how can the major actors be influenced to become more responsive to local model cities needs? Once these actors respond, what mechanisms should be established to initiate, coordinate, local, state, and federal levels to achieve comprehensive urban education programs based on local needs?

In the Present study, the author has attempted to discover the answers to some of these questions, and to report his findings through an historical perspectus, along with an explanation of the methods used in attempting to find answers to these rather ellusive questions.

Statement of the Problem

From a brief study of the Model Cities program from its conception in the Fall of 1966, through the Summer of 1970, several major questions have arisen. The major objective of this study was to discover answers to the questions concerning (1) an explanation of the processes involved in reaching the conclusion as to the comprehensiveness of the urban educational programs in the Model Cities programs; (2) the identification of the major variables affecting the education component of Model Cities from the Fall of 1966, through the Summer of 1970; and (3) the identification of strategies that can be employed at the federal level which have the potential of mobilizing fiscal and human resources at the local, state and federal levels to achieve comprehensive urban education programs based on local needs of the Model neighborhoods.

Purposes

The purposes of this study were:

1. Through a review of the processes and information utilized by the Chief Education Advisor to Model Cities in preparing his statement of conclusion that the model neighborhoods have not developed comprehensive urban education plans,
   a. Identify one possible method for arriving at an operational definition of the concept of "comprehensive urban education planning;" and

b. Identify one possible method for determining the degree of comprehensiveness proposed of a local urban education plan.

2. Through the use of interviews, observation of committee meetings, and an examination of government documents, reports, journals, memos and other correspondence materials, identify the major events in the history of the education component of Model Cities from its inception in the Fall of 1966 through the Summer of 1970.

3. Through the use of interviews, observation of committee meetings, and an examination of government documents, reports, journals, memos and other correspondence materials, identify the major variables affecting the education component of Model Cities, especially those variables affecting the development of comprehensive urban education plans through the utilization of the most effective mix of Federal Categorical Grants and Supplemental Funds.

4. Through an analysis and interpretation of the findings, make recommendations as to the strategies to be employed at the federal level which would have the potential of mobilizing fiscal and human resources at the university, state and federal levels to achieve the stated goal of the development of comprehensive urban education programs based on local needs of the Model neighborhood.

Definition of Terms

The following terms were defined operationally as used in the study:

1. Federal Response - Federal inter-agency cooperation and coordination in response to locally defined needs. It includes tapping technical skills and financial resources.

2. Model Cities (MC) - Program authorized by the Demonstration Cities and Metropolitan Development Act of 1966--originally called the Demonstration Cities Program. There are presently 150 local model cities programs.

3. Local Model City (model city, mc) - Any municipality, county, other public body having general governmental powers (or two or more public bodies acting jointly), or Indian reservation governmental unit participating in the program is referred to as a model city.

4. Model Neighborhood (MNA) - Area within a city designated as the target neighborhood for the local model cities program. The standard is 15,000 population or 10% of city population, whichever is larger. For small cities, the entire city may be the MNA.

5. City Demonstration Agency (CDA) - Local model cities agency called the City Demonstration Agency-headed by a CDA Director who is responsible to the local government executive. Sometimes used to denote the grantee.

6. Comprehensive City Demonstration Program (CCDP) - Locally developed model cities plan.

7. Operating Agency Third Party - The CDA does not normally operate projects but contracts with other groups and organizations to operate them and deliver services. From HUD's point of view, these are third party contract agencies operating local model cities projects.

8. Citizen Participation (CP) - Local processes by which MNA residents are involved in policy development, program planning and implementation, and evaluation. Most cities utilize task force approach to meeting this statutory requirement for "widespread citizen participation."

9. Earmarking - Obtaining commitments from other agencies to reserve sufficient funds for program applications generated by the Model Cities planning process.

10. First Round/Second Round - The local model cities in the program were announced in two separate groupings. The first group (First Round) of 75 entered the planning phase of the program in Summer and Fall 1967. The 75 Second Round cities began planning in Fall 1968.

11. Planning Phase - All cities selected to participate in the program are required to go through a planning process in order to develop a CCDP. This process has varied from 12-24 months, with 12 being the goal. Under Section 104 of P.L. 89-754, HUD is authorized to make grants to and to contract with CDAs to pay 80 per centum of the costs of planning and developing CCDPs.

12. Action Year(s) - After approval of the CCDP, a city signs a contract with HUD and begins implementing the program. All years during which a CCDP is being implemented are called action years. During each action year, the city is required to go through a planning process to develop a CCDP for subsequent action years. This is the continuing planning portion of the MC program.

13. Supplemental Funds - Model Cities program funds granted after approval of the CCDP to projects or activities included in the local model cities plan. These funds are not earmarked for any one specific project or activity. They may be used to totally fund an activity or can serve as a local match for other funds. Under Section 105(d) of P.L. 89-754, these flexible funds "may be used and credited as part or all

of the required non-Federal contributions to projects and activities assisted under a Federal grant-in-aid program."

14. Categorical Grant - A federal grant designated by statute for a specific purpose with certain eligibility requirements. Categorical grants may be operated by a state or local agency or directly by the federal agency.

15. Discretionary Funds - Program funds which are awarded directly by a federal agency based upon its own administrative policies.

16. Formula Grant - Federal funds which must be apportioned to a certain class of recipients based on a statutory formula.

17. 701 Funds - HUD planning funds authorized by the Housing Act of 1954. The funds go to state and local governments to assist in meeting all planning problems. Special 701 grants are made to states to provide State Coordinators for Model Cities.

18. Technical Assistance (TA) - Refers to all types, governmental and private as well as consultant assistance purchased in support of the city.

19. Government Technical Representative (GTR) - The Model Cities staff person responsible for developing and monitoring TA contracts. He is responsible for all direct contact with contractors.

20. Assistant Regional Administrator (ARA) There is one ARA for Model Cities in each of the 10 HUD regions. He is responsible for the monitoring, approval and implementation of the local model cities plans for the cities in his region. He has a staff of specialists --Human Resources-State, Manpower and Economic Development, Citizen Participation, Planning and Evaluation, and Fiscal--backing him up.

21. Regional Administrator (RA) - There is one in each HUD Region. He is responsible for all HUD programs in his region.

22. Area Office - HUD is presently decentralizing into a series of area offices under each regional office. The Area Office is headed by an Area Office Director who reports directly to the RA. The Program Manager and MC Representative are under the Area Office Director.

23. Model Cities Representative (formerly leadman) - Model Cities staff person working directly with local model cities. He works out of one of HUD's Area Offices and reports directly to the Program Manager. Whenever necessary, the Representative and the ARA and his specialists can communicate either through the Program Manager or directly. Whenever an ARA or specialist has dealings with a city, the Representative is to be involved.

24. Regional Interagency Coordinating Committee (RICC) - Committee of federal domestic agencies (e.g., HUD, HEW, OEO, etc.) who meet to review local model cities plans and progress.

25. Washington Interagency Coordinating Committee (WICC) - Washington counterpart of the RICC.

26. City Demonstration Agency Information System (CDAIS) - Local model cities information systems utilized to provide uniform information on local model cities activities.

27. Model Cities Manual - All Model Cities policy statements and guidance materials are classified and contained in the Model Cities manual.

28. HEW - U.S. Department of Health, Education and Welfare, Washington, D.C.

29. USOE - U. S. Office of Education, Washington, D. C.

30. HUD - U. S. Department of Housing and Urban Development, Washington, D. C.

31. SEA - State Educational Agency (State Department of Education)

32. LEA - Local Educational Agency (Local School Board/System)

Assumptions in the Study

1. It was assumed in this study that Model Neighborhoods are not developing comprehensive urban education plans focused on local needs. This assumption is warrented by the contents of government reports and memos describing the education component of Model Cities. It was not the intent of this study to prove the validity of this conclusion; rather, it was one of the basic assumptions in the study. Therefore, the findings and recommendations were based on the definition and criteria employed by knowledgeable persons in reaching the conclusions as to the comprehensiveness of the urban education plans and the degree of focus on local needs.
2. The conclusion that significant amounts of the supplemental funds for education have gone for Model neighborhood projects which could have legally been funded under a broad selection of categorical grants from other Federal Departments and/or State Agencies is also treated as an assumption. Again, it was not the intent of this study to prove

the validity of this conclusion. In making the recommendations, the conclusion was assumed to be valid.[18]

3. The present study--its findings and recommendations--was based on the assumptions that underlie the "formal institution-association power concept." The assumptions on which this concept is based focus on the notion that the power to make decisions on government programs at the local, state and federal levels is possessed and used by the elected officials, the professionals, and other administrative officials in the agencies and institutions officially designated to carry out the legislated programs.[19]

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[18]The design of the study called for an in depth description of how the conclusions mentioned in Assumptions One and Two (above) were reached. It was necessary to describe the process leading up to these conclusions in order to make valid recommendations. It is important to note that these conclusions were the beginning point of the study, in that they generated the concern which resulted in the statement of the problem. They were not the outcome of any of the efforts made in the present study. This fact must be kept in mind in order to maintain a correct perspective in studying this report.

[19]For a full description of the formal institution-association power concept, see Ralph Kimbrough, Political Power and Educational Decision-Making, Chicago: Rand McNally & Company, 1964, pp. 11-25. Kimbrough contrasts this with the informal power model in which the underlying assumption is that the designated officials and administrators are not in the predominant power position, and the actual power wielders are difficult to identify through studies based on the formal institution-association power concept.

4. It was assumed in the present study that the information obtained from the interviews; observations of committee meetings and Congressional hearings; and the examination of government documents, reports, journals, memos, and other correspondence materials was reliable and accurate. The findings and recommendations are based on the assumption that through such methods of data collection the researcher can determine the reasons for action of the major actors in the study, at the local, state, and Federal levels. This, in turn, is based on the assumption that the stated reasons-for-action are the real reasons-for-action.

Limitations of the Study

1. The form in which the data was available controlled to an extent the procedures used in the study. The fact remains that transitory nature of knowledge collected on social phenoma, such as the contemporary education component of Model Cities, usually does not sustain great predictive power; therefore, all generalizations and recommendations are made cautiously. This caution must also be exercised because of the possibility of limited accuracy of the data, as well as by conclusions reached through the subjective judgments of the researcher.

2. The present study was based on the formal institution-association power concept. In light of the fact that recent power structure studies have suggested that this traditional concept has several weaknesses, the findings and recommendations concerning the major variables affecting the education component of Model Cities must be considered with caution.
3. Due to the possibility that the major actors' stated reasons-for-action, and their real reasons-for-action may be different, the findings and recommendations concerning the major variables affecting the education component of Model Cities must be considered with caution.
4. Since the ex post facto design was used in the study, the existence of a relationship between the education component of Model Cities and the identified variables affecting it does not necessarily demonstrate causality.

Design of the Study

The investigation was a case study focusing on two major aspects of a problem. The origin of the problem came from the investigator's encounters with persons and publications related to the Model Cities Program. From these encounters, the investigator by the summer of 1970 reached the conclusion and stated that, "the plans

submitted by the model neighborhoods did not reflect comprehensive urban education programs utilizing the most effective mix of Categorical Grants and Supplemental funds focusing on local needs." This conclusion generated two questions, namely, (1) What were the procedures used in reaching such a conclusion, and (2) What were the major variables affecting the education component of Model Cities which could have caused the state of affairs represented in this conclusion?

The information concerning the procedures used in reaching the conclusion was obtained from a detailed description of these procedures as provided by the Chief Education Advisor to Model Cities. The design of the study focused on obtaining a detailed description of these procedures as provided by the Chief Education Advisor; it was not within the scope of the design to utilize and test the validity and/or reliability of these procedures.

To identify the major variables affecting the educational component of Model Cities, the investigator collected data through the following procedures:

1. Reviews of inter-and intra-departmental memoranda, letters, and reports.

2. Analysis of the education components in the plans submitted by the model neighborhoods.

3. Analysis of the data retrieved from the HUD/Model Cities computer information Bank.

4. Interviews with CDA Directors, HUD/Model Cities staff, residents in Model neighborhoods, HEW staff, State

Department personnel, University personnel, Congressmen, White House staff, NEA personnel, LEA personnel, personnel from city governmental units, and industrialists and businessmen.

5. Analysis of the nature or intent of the Federal legislation and guidelines for each categorical program having Model Cities relatedness.

6. Observation of committee meetings.

7. Review of government documents, and publications.

The major events identified from this analysis were listed in chronological order. From this listing, interrelationships were determined and summarized. From these summaries, diagrams were developed to more clearly show the interrelationships of the variables which were identified. From these summaries and diagrams, recommendations were developed.

Significance of the Study

The model cities program was conceived as a way of dealing with the grave problems existing in urban areas and the disappointing results of the some 400 federal grant-in-aid programs. It promised the cities much greater freedom to use federal funds in poor neighborhoods in the ways that local people thought best. Unfortunately, the execution of the model cities program has fallen short of its promise. The urban education plans have not been comprehensive, nor has there been an effective mix of Categorical Grants and Supplemental funds focusing on real need of the model neighborhood. On the contrary, there has been a lack of response of those agencies in directing or channeling the more than 120 categorical grant programs in education into model neighborhoods.

It would be easy to blame these developments on arrogant bureaucrats and the almost universal tendency of bureaus to aggrandize themselves. On the other hand, most of the rules and regulations made by executive agencies are justified by them on the grounds that they are responsible for seeing to it that the money is spent as Congress intends.

Many reasons and excuses can be given for the failure of the Model Cities program to achieve its intended goals. The present study was conducted for this purpose of discovering, in as objective manner as possible, the major variables affecting the education component of Model Cities. The study was exploratory in nature, utilizing such methods as interviews, observation of committee meetings, examination of government documents, journals, reports, memorandas, and other correspondence material in collecting the data. The newness and the multidimensional nature and the multiplicity of uncontrollable variables relating to the Model Cities process demand such an initial study in order to draw conclusions and make recommendations which will have a chance of successfully guiding Model Cities' future course of action in achieving its intended goal.

Since Model Cities is concerned with educational institutional change, this study could also be perceived as a sensitive political and social analysis of social action in education. Studies such as

this, which are based on an examination of real programs, are an essential element in the evaluation of large-scale social action programs. It should shed light on the dynamics of implementing social action programs, and should illuminate the political and administrative causes of the gaps which exist between the ideal goals of programs and the actual operation of these social programs.

Finally, it is hoped that this study will reveal information relative to understanding the complex nature of coordinating comprehensive educational programs. The examination of the data focused attention upon real developments, conditions, and trends in government spending that might otherwise remain unnoticed. From this examination, it is hoped that the recommendations will provide local, state, and federal levels of government ways in which the Federal Categorical Grant system might become more responsive to local urban educational needs. It is also hoped that the recommendations will provide the basis for a series of theoretical studies.

Organization of the Dissertation

In Chapter I of this dissertation, a description of the problem, its importance, the general design of the study, and the assumptions and limitations have been set forth. Chapter II presents a description of the procedures and data which were used to come to the conclusion that "the plans submitted by the model neighborhoods did not reflect comprehensive urban education programs utilizing the most effective mix of

CHAPTER II

A DESCRIPTION OF THE PROCEDURES AND DATA USED IN JUDGING THE COMPREHENSIVENESS OF THE URBAN EDUCATIONAL PLANS

Introduction

In 1966 the Demonstration Cities and Metropolitan Development Act was passed and became Public Law 89-754. Included in the declared purposes of Title I of this act was the provision of additional financial and technical assistance to enable cities to plan, develop, and carry out locally prepared and scheduled comprehensive city demonstration programs containing new and imaginative proposals to improve educational facilities and programs. One aspect of the Model Cities focused on the development of comprehensive urban education programs reflecting local needs. This aspect of the act appeared to have great promise in that by placing it into operational terms, the cities were asked to plan and implement comprehensive urban education programs utilizing the most effective mix of Categorical Grants and Supplemental funds with a combined focus on real needs and effective institutional change. In July, 1970, it had been concluded that the educational components of the model neighborhood's plans were not comprehensive, and that a significant number of the educational projects being funded through supplemental funds could have been funded legally through the categorical grant system.

It is the purpose of this chapter to describe the procedures and data which were used in reaching these conclusions.

Procedures Utilized

To the average reader it may appear that it would be a relatively easy task to reach a conclusion as to whether an urban education plan is comprehensive. On the contrary, in June, 1968, when the Chief Education Advisor to HUD/Model Cities was designated and assigned this task, he found that the concept of a "comprehensive urban education program" lacked any operational definition. In fact, there was even a lack of standardized terminology. He found that comprehensive urban education planning as a concept could be defined in so many ways as to preclude any single meaning in the educational setting. It became increasingly evident that any operational definition of the concept would be clear only when considered within the more general framework of one's educational philosophy. Before a determination could be made as to the comprehensiveness of the urban education plans, then, an operational definition had to be developed, within which the criteria and the elements of a comprehensive urban education plan could be identified.

In addition to the lack of criteria from which to determine the comprehensiveness of the urban education plans, another problem had to be solved before any conclusion could be reached as to whether the plans reflected an effective mix of Categorical Grants and Supplemental funds focused on local needs. This problem centered on the fact that in June, 1968, the Chief Education Advisor discovered that no one seemed to know where the Federal funds were being spent, nor was there any central record providing information describing the

funding process, nature, and specific intent of the various Categorical Grant programs. This dire situation was expressed in the following statement: "One of the greatest problems in analyzing the impact of Federal educational aid is the immense information gap that exists between what we should know about the patterns of allocation of funds and what we actually do know."[1] The Committee on Finance and Governmental Relations of the Urban Education Task Force reported that the Federal Government does not now have a systematic way of measuring its own overall resource allocation priorities in education.[2]

It was apparent that before a determination could be made as to whether money from Categorical Grants could be used for the Model neighborhood projects, rather than Supplemental funds, a detailed description of the pertinent Categorical Grants had to be compiled. In June, 1968, the Chief Education Advisor for Model Cities had two major tasks to complete before he could reach any conclusion on whether the Model neighborhood plans were in reality "comprehensive urban education programs" based on an effective mix of Categorical Grants and Supplemental funds focused on local needs.

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1 Urban Education Task Force, op. cit., p. 20

2 Ibid., p. 2.

The first task was to determine an operational definition of a "comprehensive urban education," from which elements could be identified, from which criteria could be developed, and against which model neighborhood plans could be judged. The second task was to locate the existing Federal Categorical Grants which appeared to apply to any of the elements found in a comprehensive urban education program. In other words, the second task was to identify those Federal Categorical Grant programs which were considered potentially relevant to model neighborhood anticipated needs.[3]

Once the above-mentioned tasks are completed, the projects composing the proposed Model neighborhood plans could be examined and matched against the criteria which had been established. In the following section is presented a description of the procedures used by the Chief Education Advisor to Model Cities in performing the first task mentioned above.

Determining the Criteria to be Used To Judge the Comprehensiveness Of the Urban Education Plans

In tackling the problem of determining an operational definition of comprehensive urban education, the Chief Education Advisor to Model Cities (referred to after this as the Chief Advisor) employed

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[3] A. Neal Shedd, "Model Cities: End of the Year Report" (unpublished document, U. S. Office of Education, 1969), p. 2.

a modified form of a method which is referred to as "the operationalization of fuzzy concepts."[4] This method consisted of developing a list of seemingly unrelated random statements made by various individuals concerning urban education. Through closely examining these statements, categorizing, and rearranging them, there is an attempt to determine the perimeters of the concept.[5]

For his list of statements, the Chief Advisor utilized personal notes of statements made in committee meetings and statements made in personal interviews, professional journals, reports, public and personal letters, textbooks, research studies, government documents, and inter- and intra-departmental memoranda. The following sections present a summary of the major sources used in this procedure and the subsequent elements constituting a comprehensive urban education plan which were developed from this process.

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[4] This method has been employed in similar circumstances when there is a need to establish a definition of a vague problem or a concept for which there has never been a generally agreed upon definition. The expression "the operationalization of fuzzy concepts" was coined by Dr. Thomas Hutchinson, School of Education, University of Massachusetts.

[5] "The operationalization of fuzzy concepts" method is directly related to the Delphi technique used by Olof Helmer in The Use of the Delphi Technique in Problems of Educational Innovations, (1966), in which this method was used to systematically solicit and collect the opinions of experts. The technique is applicable whenever policies and plans must be based on informal judgments. It is a carefully designed program of sequential individual interrogation and feedback which results in a consensus.

Expert Opinions Used in the Study

The experts chosen in this study were categorized as such because of their knowledgeable and prolific writings on the subject of urban education in reports, textbooks, and professional journals. Each of the experts has held positions or is now in a position that has had direct influence on urban education. Furthermore, these authorities frequently referred to each other in their writings, and other people in the field expressed favorable opinions about their writings and contributions in urban education.

Publications Utilized

Some of the principal efforts in the area of Federal educational activities as they relate to comprehensive urban education programs have been reported in documents of the U. S. Congress: Federal Educational Policies, Programs, and Proposals (1968); The Roth Report (1969); Martha Derthick, The Influence of Federal Grants (1970); Harold Orlans, The Effects of Federal Programs on Higher Education (1962); HEW, Federal Agencies and Black Colleges (1970); Elizabeth Tapscott, A Study of the Impact of Title V, Public Law 89-10 on State Educational Agency Personnel and Programs (1967); U. S. Office of Education, The State of State Departments of Education (1969); U. S. Office of Education, The State of Federal-State Relationships (1970); Edgar Fuller, Education in the States: Nationwide Development Since 1900 (1969); and the Report of the HEW Urban Education

Task Force (1970). Notable contributions dealing with urban education issues and developing a comprehensive approach to urban education programming have been made by the following authors and their publications: Mario Fantini, Alternatives for Urban School Reform (1968); Kenneth B. Clark, Dark Ghetto (1967); Wilson Riles, Schools of the Urban Crisis (1969); Passow, Summary of a Report on the Washington, D. C. Public Schools (1967); James B. Conant, Slums and Suburbs (1961); James B. Kelly, Resources Allocation and Educational Needs (1970); Nolan Estes, Prototypes for Educational Excellence (1968); Medill Blair, A Planned Program for Education Progress (1969); NEA, The Urban School Crisis, (1970); and U. S. Office of Education, Urban Universities: Rhetoric, Reality, and Conflict (1970).

From an educational point of view, there are only three current publications dealing with education in Model Cities. They are: George Arnstein, "Colleges Can Reach Out to Troubled Cities With Action, Assistance and Analysis," College and University Business, (1969) and John H. Kendrick, The Model Cities Program: Opportunities for University Involvement (1969), and H. Ralph Taylor, Educational Dimensions of Model Cities (1968). At the same time, there exists a storehouse of unpublished and unanalyzed data at HUD/Model Cities and HEW/OE in Washington, D. C. These data are found in inter- and intra-departmental memos and reports.

Experts Interviewed
During the Procedure

During the time this procedure was being carried out the Chief Advisor had the unique opportunity to have several face to face discussions with a number of renowned experts in the field of Urban Education[6]

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[6]This opportunity arose from the fact that during that time, the U. S. Department of Health, Education and Welfare (HEW/OE) brought a group of urban experts together to collaborate on publishing a report entitled Urban School Crisis: The Problem and Solution. The report was subsequently submitted in January, 1970. The Chief Advisor was a member of the group asked to participate in this endeavor.

The list of the experts used, and their present positions is presented in Figure 1.

	Name	Position
1.	Green, William	Special Assistant to the Commissioner of Education for Urban Education, U. S. Office of Education
2.	Hogan Ermon	Director of Education, National Urban League
3.	Hughes, Jack	Researcher, Brooking Institute
4.	Kelly, James A.	Executive Associate, National Urban Coalition
5.	Marburger, Carl	Commissioner of Education, N.J. State Department of Education
6.	Paige, Joseph	Dean, Community Education, Federal City College
7.	Passow, Harry A.	Professor, Columbia University
8.	Randolph, Harland	President, Federal City College
9.	Riles, Wilson	Commissioner of Education California State Department of Education
10.	Scott, Hugh	Superintendent, D. C. Public Schools
11.	Shedd, Neal A.	Coordinating Director, Urban Education, U. S. Office of Education
12.	Smith, Charles	Associate Director, Rockefeller Foundation

Figure 1 - A list of the urban experts who were interviewed during the procedures.

Other Resources Utilized During the Procedures

In compiling his list of statements the Chief Advisor examined many inter- and intra-department memoranda, personal and public letters, and other government documents. He also utilized statements gleaned from his day-to-day discussions with persons at the Federal, state, and local levels, with whom he dealt in the course of his assigned duties.

A Summary of the List of Statements Produced During the Procedure

As one would expect, this procedure resulted in an extensive list of seemingly unrelated random statements, partial statements, and terms. From this list of statements, combinations and generalizations had to be made and general categories had to be developed, under which ideas gleaned from the statements had to be classified. In the following sections are presented a summary of the major generalizations developed from the list of statements.

Statements Relating to the Present Condition of Urban Education

When the question of "what is wrong with our urban schools" was discussed, an almost endless list evolved from persons in all walks of life, including the residents in the model neighborhoods, university personnel, as well as "the experts."

The composite list included:

1. Constant Political and Legal Barriers
2. Massive Retardation; Low Achievement of Pupils
3. Poor Teacher Attitude
4. High Drop-out Rate
5. Lack of or Too Much of Community Involvement
6. High Rate of Adult Illiteracy
7. Lack of Early Childhood Education
8. Inadequate Instructional Facilities and Maintenance
9. Ineffective School Board; Decentralization
10. Improper Organization for Instruction
11. Inadequate School Finance
12. Ineffective Use of or Lack of Paraprofessionals
13. Fragmented Innovations and Irrelevant Curriculum
14. Insufficient Cultural Enrichment and Cultural Exchange
15. Poor School--Community Relationship
16. Inadequate System of Teacher Recruitment and Staff Development
17. Inequities, Inconsistencies and Inadequacies of the Funds Administered by State Agencies
18. Low Teacher Salary
19. Too Many Non-Certified Teachers
20. High Pupil Mobility Rate
21. No Teacher or Administrative Accountability
22. Unreliable Tests
23. Irrelevant Teacher Training
24. Poor Home Environment
25. Racial and Ethnic Isolation
26. Inadequate Guidance Programs
27. Poor Libraries
28. Not enough Pupil Personnel Services

By combining such a list with statements of the experts as examplified by the statements selected at random and presented in Figure 2 below, the Chief Advisor was able to identify two dimensions to the apparent elements which constitute a comprehensive urban education program.

1. Even educational researchers, with their current conceptualizations and methodologies, do not generally provide clear insights into the interrelatedness of all the problems of poverty. Pilot and demonstration educational programs have typically lacked the magnitude and comprehensiveness to provide adequate answers. The solution to monetary problems alone is not the total answer. Efforts must be made to go beyond the modified attempts of compensatory education programs to changing the total educational system. (Joseph Paige, private interview held in Washington, D. C., March, 1969.)

2. The only viable approach to resolving the complex problems of education in urban areas is through the development and implementation of a relevant plan for urban education tailored to the specific needs of a particular urban area. Such a plan must concomitantly deal with causes and symptoms, must be conceived within a framework of over-all urban problem-solving rather than education per se, and must encompass all educational levels, i.e., from early childhood through higher and adult education. Moreover, this plan must reflect a considerable expansion and enrichment of what constitutes "education." Within the educational plan, there must be stress placed on developing and implementing appropriate curricular designs, consumer participation, staff development programs for all concerned, supportive services, and evaluation. Finally, it must be interrelated with other facets of the larger urban problem, such as housing, employment, recreation, and health. We recognize that the development and implementation of a master plan for urban education will not take place over night; it will take time, work, and the changing of attitudes. (Urban Education Task Force, op. cit., p. 20.)

3. Passow recommended in his report on the Washington, D. C. schools that one approach to achieve total system reform was by decentralizing the system into eight subsystems of approximately equal size. (A. H. Passow, Summary of a Report on the Washington, D. C. Public Schools (New York: Teachers College, Columbia University, 1967). (Mimeographed).)

4. In his visits to schools across the nation, Conant found that there exist a lack of coordination, or articulation, between what is taught in the elementary, junior high, and senior high schools. (James B. Conant, Slums and Suburbs, Signet Book (New York: The New American Library, 1961), p. 62.)

5. James Guthrie (1969), found that poor kids with additional school resources scored better on standardized achievement tests than poor kids with lower levels of school services. (James A. Kelly, "Resources Allocation and Educational Need," Education and Urban Society, II (May, 1970), p. 263.)

6. Kelly reported that there is an extremely close relationship between a student's socioeconomic circumstances and his educational attainment as measured by standardized achievement tests. (Ibid., p. 267.)

7. Gordon concluded that billions of Federal and local dollars designated for the education of disadvantaged children have been wasted on the expansion of existing programs and services. (Sol Gordon, "The Bankruptcy of Compensatory Education," Education and Urban Society, II (August, 1970), p. 360.)

8. Comprehensive urban education planning may be defined as a point of view. It may also be considered in terms of services or activities necessary to implement the point of view. As a concept, it is based on the existence of individual differences and the worth-whileness of each person. This point of view emphasizes the unique needs of each individual, needs which may not be compatible with those needs which Federal, State and local education agencies so often predetermine. (D. E. Williams, personal letter from resident of local education task force, Denver, Colorado, August, 1970.)

9. Comprehensive urban education planning as an educational construct involves those experiences which help each person to understand himself, accept himself, and live effectively in his society. When objective evidence has been sought for a definite role of Federal government within this context, educators are left in a state of confusion about the primary responsibilities of the Federal government. (Ernest Hogan, private interview held during Urban League meeting, May, 1970.)

10. Comprehensive urban education planning can be achieved by placing it on a longitudinal basis, that is making optimum use of the potentialities of all educational agencies -- Federal, State and local -- at their operational levels. (Letter from Gordon Johnson, CDA, Dade County, Florida, July, 1969.)

11. John Monro, dean of Harvard College, proposed a total reorganization of the Harlem schools, with revision of curriculum, teaching methods, testing, guidance, remedial work, in a deliberately "avant garde, experimental, inventive" program. He further stated that universities like Harvard, Yale, Columbia, the City University of New York, Princeton, and Howard would be willing even eager to be potential sponsors of such a program, more cognizant than they used to be of their social responsibilities, less proud of the detachment of the ivory tower. (Education and Urban Society, (August, 1970), p. 349.)

12. In his discussion concerning total system reform Fantini stated that since "the compensatory approach has apparently failed, since desegregation is not a realistic short-range prospect, since model subsystems do not give much evidence yet of realizing their promise, and since parallel systems are basically an avoidance of the challenge to reform the schools where most children will continue to be educated, the latest and, in my view, most promising -- approach to intervention is reform of total school systems, structurally and otherwise. There are several ways of looking at total system intervention." (Mario D. Fantini, "Alternatives for Urban Reform", Harvard Educational Review, XXXI (Winter, 1963), p. 3.)

13. As noted in the fourth annual report of the National Advisory Council on the Education of Disadvantaged Children. "Doubt about the continuing availability of funds inevitably results in a lower grade staff for Title I projects (Some administrators have declared they would not assign their best teachers to a program that may go bust any time!), a preponderance of single purpose programs not integrated with the regular school curriculum, and a minimum of basic changes or improvements in the total curriculum for disadvantaged children. (Title I-ESEA: A Review and a Forward Look - 1969, Fourth Annual Report. (The National Advisory Council on the Education of Disadvantaged, Washington, D. C. 1969, p. 12.)

14. Clark tells us that the job of obtaining excellent education for the children in deprived urban areas is now a national problem. (Kenneth B. Clark, Dark Ghetto, Harper Books (New York: Harper and Row, 1967), p. 119.)

15. In 1969, the Public Schools of Hartford, Connecticut developed an urban education strategy which reflected a wide range of new programs and practices. This strategy also reflected a tentative cost apportionment among Federal, State, and private and/or local sources for the additional financing for the comprehensive urban educational plan. The six components of Hartford '74 were (1) Curriculum, (2) In-Service, (3) Facilities, (4) Resources, (5) Community Involvement, and (6) Information System. (Medill Bair, Hartford '74: A Planned Program for Educational Progress (Hartford: Hartford Board of Education, 1969), pp. 2-3.)

16. Bair tells us that "in any urban educational plan, the relationship of the schools to problems of city education must be considered. Perhaps these problems have been best described as the concentrated manifestation of the scope of conditions currently facing the entire urban community. Unemployment, segregation, poverty, and total deprivation in all of its forms are some of the more observable of these interrelated handicaps -- handicaps which continually persist to confront and confound the metropolis of today. Although this myriad of problems obviously cannot be solved by the schools themselves, neither can any solution be marshalled effectively until schools have begun to really answer the educational needs of the total community." (Ibid.)

Figure 2 - A list of statements selected at random from the recorded statements collected during the procedures.

In the following sections are presented the elements of a comprehensive urban education program as identified by the Chief Advisor through the utilization of the procedures described above.

Elements of a Comprehensive Urban Education Program

There appeared to be two dimensions to the elements which constituted a comprehensive urban education program. These were (1) educational levels and (2) major educational concerns. The five most common of the educational levels referred to in the data were: (1) early childhood, (2) elementary and secondary, (3) vocational-technical education, (4) adult basic and continuing education, and (5) higher education. The six most common educational concerns were: (1) organization and authority, (2) educational personnel development, (3) facilities, (4) curriculum, instruction, and supportive services, (5) patterns of community involvement, and (6) educational alternatives.

After establishing these elements, the Chief Advisor again checked with the twelve experts listed on Page 37 and found unanimous agreement among these experts about the five educational levels and six educational concerns.[7] The Chief Advisor was thereby reinforced in his assumption that these elements were the essential parts of a comprehensive urban education program.

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[7] Ibid.

The perceptions of the twelve experts about the major educational concerns will be discussed in greater detail. As these six educational concerns are discussed, the relationship between them and the elements of each will become apparent as components of a comprehensive urban education program.

Operational Definitions of the Educational Concerns

The educational concerns are the aspects relating to the educational institution which will be changed by the proposed program, in order to make the institution more responsive to local needs. Within the six identified elements there are numerous subcategories. In the following presentation of the six major elements, an extensive list of the sub-elements will be presented only for the first educational concern.

A. Curriculum, Instruction, and Supportative Service--processes for effecting substantive changes in the curriculum (including equipment, materials, content and scope and sequences); instruction (including teaching methods, staffing patterns and organization of grade levels); and supportative services (including testing and evaluation methods, guidance, social services, and research). Included in this would be programs focusing on the following:

1. Early Childhood Education (day care centers)
2. Individualization of Instruction (class size, team teaching, ungraded classes, joplin plan)
3. Relevant Curriculum (curricular designing, planning and innovation, including black studies)

4. Special Education
5. Remedial Programs (reading and/or math)
6. Education Media
7. Pupil Personnel Services
   a. Counseling Services
   b. Social Worker
   c. Psychological Services
   d. Medical Services
   e. Dental Services
   f. Food Services
8. Para-Professional Aides
9. Specialist Teachers
10. Books, Equipment and Supplies
11. Demonstration and Laboratory Schools
12. Testing Programs
13. Vocational-Technical Training
14. Adult Basic and Continuing Education
15. Higher Education (tuition, scholarship, community and junior college)
16. Library Services
17. Transportation (busing)

B. Organization and Authority--ways in which school systems are legally and formally constituted to produce the policy-making and administrative procedures that can effectively respond to the educational needs of the urban community. This issue embraces the nature and function of State and local boards, commissioners, and various government authorities. Examples of programs focusing on this element include those dealing with (1) student government, (2) teacher bargaining, (3) decentralization of the school system, (4) central office administration and organization.

C. Education Personnel Development--processes for effecting substantive changes in methods used in (1) staff development programs for teachers, administrators, and para-professionals (including content and methods focusing on the cognitive and affective domains),

and (2) recruitment, selection, orientation and retention of teachers, administrators and para-professionals.

D. Facilities--the design of new educational structures, (e.g., educational parks, school buildings) and/or the adaptation of present school plants and other structures to meet urban education priorities. Programs would be included in this element if they focused on such things as: (1) land acquisition, (2) school plant facilities and maintenance, (3) libraries and (4) educational parks.

E. Patterns of Community Involvement--ways in which parents of students in a particular school district and the general community of that school district participate in decisions affecting the operation of the school district, including selection of the schools' governing board, determination of educational services and allocation of funds.

The community school concept is based on the premise that the school belongs to the people, and that local resources can be harnessed to attack community problems with the public schools used as community centers, the total needs of communities can be served.

Programs falling into this area would include those focusing on (1) community involvement in advising capacities, (2) community

education,[8] (3) racially and socially diverse experiences through symposia, committee meetings, etc.

F. Educational Alternatives--the exploration of viable alternatives to the present public school systems in big cities, including nonprofit community corporations, subsidization of private schools, voucher systems and competitive schools. These alternatives for conveying educational experiences could be within or outside of the public school systems. Such programs would include (1) work-study programs, (2) drop-out prevention programs, (3) residential home programs, and (4) storefront academies.

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[8]There are classes in vocational retraining; in adult education, adult high school; children's enrichment courses in art, foreign language, mathematics and science; recreation activities, including basketball, volleyball, swimming, dancing and a host of others for men, women and children, regardless of ability. A trained community school director coordinates this effort to combat community problems. The philosophy repeats the concept of the little red school house of previous generation. Then, the school house served as the community center for all activities. The teacher sometimes lived with the families he taught, becoming familiar with their needs and desires, their abilities and expectations.

After a critical review of all the available literature had been made and personal interviews conducted to ascertain the present theories relating to comprehensive urban education programs, it was found that Nolan Estes[9] had suggested a listing of current urban education program approaches, which appears, with a few insertions and deletions, to fit the responses of the urban education experts in this particular study. A modified form of Estes' outline was converted to a matrix and used as described below. The major educational elements were also individually analyzed and related to Model Cities' Statutory Requirements.[10]

The Construction of a Matrix

Once the elements which must be included in a comprehensive urban education program had been identified, the Chief Advisor constructed a matrix. This matrix is presented in Figure 3. As illustrated in this matrix, the five educational levels constitute the horizontal axis, while the six educational concerns constitute the vertical axis. The matrix thereby consists of thirty cells. These cells constitute the categories for classifying various aspects of proposed model neighborhood programs.

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[9]Nolan Estes, "Prototypes for Educational Excellence", speech presented at the U.S. Office of Education, (Washington, D.C., March, 1968).

[10]U.S. Department of Housing and Urban Development, Improving the Quality of Urban Life: A Program Guide to Model Neighborhoods in Demonstration Cities, December, 1967, pp. 11-13.

Educational Concerns	EDUCATIONAL LEVELS				
	Early Childhood	Elementary & Secondary	Vocational-Technical	Higher Education	Adult Basic & Continuing
Organization & Authority					
Educational Personnel Development					
Facilities					
Curriculum, Instruction, and Supportive Service					
Patterns of Community Involvement					
Educational Alternatives					

Figure 3 - A matrix illustrating the major educational concerns by educational level

For an urban education program to be comprehensive, it must deal with all thirty aspects as represented by the thirty cells. In turn, for a model neighborhood plan to be comprehensive it must include from its total list of projects, at least one project for each of the thirty categories. (A single project, because of the nature of its sub-parts, could be classified in several of the cells).

Determining the Comprehensiveness of the Urban Plans by the Use of the Criteria

Once the criteria had been developed, the next step was to determine the extent to which the submitted model neighborhood plans reflected comprehensive urban educational programs. In order to make this determination the Chief Advisor made the following major assumption: "In order for the conclusion to be reached that the cities had submitted comprehensive urban education plans, each model neighborhood had to submit at least one project in each of the thirty cells of the matrix." The following sections describe the methods used by the Chief Advisor to gather and analyze the data for the purpose of determining the comprehensiveness of the plans.

Methods for Gathering the Data

By July, 1970, there had been 150 model cities in the program. All 150 cities in the program at that time had equal opportunity to submit their city comprehensive plans by July 1, 1970. The cities were located in all ten regions of the country. There were

44 States represented. The number of States (by region) ranged from 3 in Regions II, III, VII and IX, to 7 in Region IV. The number of model cities submitting plans ranged from 4 in Region X to 18 in Region IV. The total number of cities submitting comprehensive plans was 113 and the total number of education components analyzed was 110. This information is presented in greater detail in Table 1.

TABLE 1

NUMBER OF EDUCATIONAL COMPONENTS SUBMITTED

(By July 1, 1970)

Region	No. of States in Region	No. of Cities in Region	No. of Cities Submitting Plans
I	6	20	15
II	3	18	11
III	5	14	11
IV	7	23	18
V	5	27	21
VI	5	17	14
VII	3	5	5
VIII	3	7	5
IX	3	14	5
X	4	5	4
Totals	44	150	113

The Chief Advisor analyzed the 595 educational projects included in the 113 model neighborhood plans for which supplemental funds were requested. He classified each of the project according to the thirty categories from his matrix.

He then tallied the number of projects focusing on each of the six educational concerns. In addition, for each concern he determined the number of cities which had submitted at least one project for the educational concern.

Table 2 presents the number of projects and cities by educational concern, utilizing supplemental funds for education.

The data in this table reveals that sixty percent of the projects were focused on curriculum, instruction, and supportive services. Ninety three of the cities had projects dealing with this educational concern. Only twenty cities had projects dealing with patterns of community involvement. Only fifteen percent of the projects focused on educational alternatives, although sixty cities had at least one project dealing with this concern.

There were two concerns (organization and authority, and facilities) in which three regions had no cities submitting projects which focused on that concern. Except for the educational concern of curriculum, instruction, and supportive services, no more than ten cities from a Region submitted at least one project for any one of the other educational concerns.

In general, these data indicated that the cities appeared not to be submitting comprehensive urban education plans. There was a heavy number of projects in one element of educational concern, that of curriculum, instruction, and supportive services.

The Chief Educational Advisor used the same method to determine the utilization of supplemental funds according to educational level. Table 3 presents the data focusing on the educational levels.

TABLE 2

NUMBER OF CITIES AND PROJECTS UTILIZING SUPPLEMENTAL FUNDS FOR EDUCATION
(By Major Concern and Region)

	REGION I		REGION II		REGION III		REGION IV		REGION V		REGION VI		REGION VII		REGION VIII		REGION IX		REGION X		Total PROJECTS		Percent
	a	b	a	b	a	b	a	b	a	b	a	b	a	b	a	b	a	b	a	b	a	b	
Organization & Authority	2	3	4	4	1	2	5	7	5	7	2	2	-	-	-	-	3	5	-	-	22	30	5%
Educational Personnel Development	4	5	3	3	2	2	5	5	7	10	4	6	2	2	2	4	1	2	2	3	32	42	7%
Facilities	3	3	1	2	-	-	7	11	3	11	-	-	-	-	3	9	3	4	1	1	21	41	7%
Curriculum, Instructional and Supportive Services	14	69	10	39	8	27	15	38	17	70	11	39	4	17	4	27	6	15	4	19	93	360	60%
Patterns of Community Involvement	2	4	5	11	2	4	4	4	1	2	3	5	1	2	-	-	1	1	1	1	20	34	6%
Educational Alternatives	10	15	6	6	5	6	9	15	9	12	9	14	4	8	2	5	5	6	1	1	60	88	15%
TOTALS	-	99	-	65	-	41	-	80	-	112	-	66	-	29	-	45	-	33	-	25	248	595	100%
Total no. of cities	20		18		14		23		27		17		5		7		14		5		150		

a. Number of Cities Submitting Projects in Category
b. Number of Projects/Occurances

Table 3

NUMBER OF CITIES AND PROJECTS UTILIZING SUPPLEMENTAL FUNDS FOR EDUCATION
(By Educational Level and Region)

	REGION I		REGION II		REGION III		REGION IV		REGION V		REGION VI		REGION VII		REGION VIII		REGION IX		REGION X		TOTALS		
																					PROJECTS		PERCENT
	a	b	a	b	a	b	a	b	a	b	a	b	a	b	a	b	a	b	a	b	a	b	
Early Childhood	6	13	3	6	1	1	7	9	10	12	3	5	1	2	2	5	3	3	2	2	38	58	10%
Elem. & Secondary	11	48	13	39	10	29	19	52	18	15	7	28	4	17	3	22	5	12	2	14	92	336	56%
Vocational - Technical	3	9	1	1	-	-	5	5	1	1	4	7	2	2	2	5	1	1	1	1	20	32	5%
Higher Education	7	12	5	9	6	9	5	5	6	10	8	14	1	1	2	6	4	5	2	3	46	74	13%
Adult & Continuing	8	17	7	10	1	2	9	9	7	14	7	12	3	7	2	7	6	12	2	5	52	95	16%
TOTALS	35	99	29	65	18	41	45	80	42	112	29	66	11	29	11	45	19	33	9	25	286	595	100%
Total no. of cities	20		18		14		23		27		17		5		7		14		5		150		

a. Number of Cities Submitting Projects in Category
b. Number of Projects/Occurances

The data in this Table indicates that 56 percent of the projects focused on the elementary and secondary education level. Ninety two cities submitted at least one project concerned with this educational level. Only five percent of the projects focused on the vocational-technical level, with twenty cities submitting at least one project for this educational level.

While only sixteen percent of the projects focused on adult basic and continuing education, 52 cities submitted at least one project at this educational level.

For one level (vocational-technical), one Region had no cities submitting a project focusing on this educational level. Except for the one educational level, elementary and secondary, there were no more than ten cities from any single region submitting at least one project for any of the other levels.

Again, this data indicated that the cities appeared not to be submitting comprehensive urban education plans. There was a heavy number of projects at one educational level, namely elementary and secondary.

Since the data presented in Tables 2 and 3 focused only on the projects requesting supplemental funds, the Chief Advisor could not make a definite conclusion until he had further data. He had to have some indication as to the number of categorical grants for which money was requested in each of the cells. The CDA Directors were instructed to request categorical grant aid for those projects for which such aid was available. These requests were to be recorded on the submitted model neighborhood plans. The following section describes the procedures utilized to determine this information.

The Chief Advisor felt that the information presented on Tables 2 and 3 supported very strongly his belief that the model neighborhoods were not submitting comprehensive urban education plans with an effective mix of categorical grants and supplemental funds.

The Chief Advisor then took steps to determine it categorical grants funds would have been available for the educational levels and concerns as represented in the thirty cells of the matrix. To do this, a thorough analysis was conducted as to the nature or intent of every pertinent Federal categorical program presently being funded by the U.S. Office of Education and other Federal agencies which revealed Model Cities relatedness. The three major sources of information were (a) Fact Book: Office of Education (1968), (b) The Roth Report (1969), and (c) the Catalog of Federal Domestic Programs (1969). The analysis of more than two hundred of the Federal legislations and program guidelines of categorical grant programs (of which seventy-five were administered by USOE), provided data related to (1) name of the authorizing legislation, (2) purpose of program, (3) eligibility requirements, (4) restrictions, (5) authorization level, (6) appropriation level, (7) average assistance, (8) assistance prerequisites, (9) application deadlines, (10) approval, disapproval time, (11) postgrant requirements. This data was essential in understanding the relationship between the categorical grant processes and the Model Cities planning process. Keep in mind that under the mayor's auspices, local education agencies and CDAs working with model neighborhood residents, representatives of the private sector and other city

agencies were trying to prepare comprehensive urban education plans to meet the needs and priorities of the model neighborhoods. In order to accomplish this difficult task, particularly the design of a first year plan of operation, the CDAs had to have a reasonable understanding of potentially relevant categorical programs and the approximate funding levels that might be available from such programs for project development.[11]

When the investigator reviewed the seventy-five OE programs more closely to determine their relevance to the unique Model Cities planning process, it was found that under fourteen of these programs in their normal operation, projects could be developed to serve the residents and children of model neighborhoods. Hence, HUD/Model Cities working through the Chief Advisor encouraged the U.S. Office of Education to earmark funds for Model Cities. After months of establishing cooperative relationships, the decision to earmark funds was made in order to facilitate the development of comprehensive urban education plans. Table 4 shows the results of the earmarking of funds in the fourteen programs that USOE determined could be helpful to CDAs while at the same time retaining the objectives for which the funds were appropriated and the specific legislation mandated. These fourteen programs were then interfaced with the matrix to determine their comprehensiveness. Table 5 reveals that there existed a significant gap between the needs of a comprehensive urban program

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[11] Shedd, op cit., p. 3.

and the USOE resources available through the earmarking process. It was apparent that the funding levels were inadequate and the binding nature of OE's categorical programs hindered comprehensive urban education plans. The Model Cities process required cities to assess local needs and to design comprehensive programs to respond to those needs. Yet, the fourteen programs which OE finally made available through earmarking were often not in the areas where the educational needs of individual cities were greatest. Research and vocational education were perhaps the clearest examples of this in FY 69. For whatever reasons, OE programs in FY 69 and FY 70 were clearly over-sold as being flexible and easily adaptable to respond to locally-established priorities.[12]

One of the reasons which hindered comprehensive planning was simply the fact that many of OE's programs have regional allocation constraints. For example, if Seattle expressed a need for a Teacher Corps project, EPDA would be unable to fund that project because the city's COP project had exhausted the EPDA funds for that particular region.

Since the data presented in Tables 4 and 5 focused only on the earmarking from the categorical grants, the Chief Advisor still could not make a definite conclusion until he had further data with which to interface the needs of CDAs with all OE Categorical and Supplemental fund requests. The researcher turned to automated methods

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[12] Ibid., p. 6.

TABLE 4

DHEW PROJECTS FUND RESERVATIONS FOR MODEL CITY DEMONSTRATION

(In thousands)

Office of Education

Appro./Activity/Program	1969 (actual) Reserved	Obligated	1970 (estimate) Cont.	New /Projects	/Total	1971(estimate) Cont.	New /Projects	/Total
Elementary and Secondary Education								
1. Dropout Prevention	2,000	3,923	4,000	-	4,000	4,500	3,500	8,000
2. Follow through	950	2,459	3,100	1,433	4,533	4,533	1,000	5,533
Education Professions Development								
3. Career Opportunity Program	500	500	500	11,400	11,900	12,000	-	12,000
4. Teacher Corps	4,700	4,502	2,350	1,000	3,350	1,700	-[1/]	1,700
Higher Education								
5. Comprehensive Planning	300	388	-	700	700	-	1,000	1,000
6. Talent Search	500	593	500	1,000	1,500	800	2,000	2,800
7. Special Services	-	-	-	2,000	2,000	1,500	5,000	6,500
8 Strengthening Developing Ins.	500	1,603	50	-	50	-	700	700
Education for the Handicapped								
9. Research and Demonstration	400	300	-	200	200	-	-	-
10. Resource Centers	-	-	-	400	400	-	400	400
11. Early Childhood	-	-	-	50	50	-	75	75
Adult, Vocational and Technical Education								
12. Adult Basic Special Projects	1,200	1,303	-	1,000	1,000	-	2,300	2,300
13. Voc. Ed. Innovation	-	-	-	2,000	2,000	2,000	2,300	4,300
Research								
14. Educational Laboratories	1,000	585	500	1,000	1,500	500	-	500
Total								

[1/] One-Third of new Corpsmen for Model Cities

*One-Third Teacher Corpsmen for Model Cities

TABLE 5

DISTRIBUTION OF THE U. S. OFFICE OF EDUCATION EARMARKINGS FOR MODEL CITIES[a]

Educational Concerns	EDUCATIONAL LEVELS				
	Early Childhood	Elementary & Secondary	Vocational-Technical	Higher Education	Adult Basic & Continuin
Organization & Authority					
Educational Personnel Development		3		4	
Facilities				7	
Curriculum, Instruction. and Supportive Service	2	1, 9, 10, 11, 14	12, 13	5	6
Patterns of Community Involvement					
Educational Alternatives		1		8	

[a]The numbers rendered in the cells represent the corresponding numbers in Table 4.

to gather the necessary data. These methods also served to check the validity and reliability of the manual technique used in analyzing and synthesizing the earlier data. In short, the investigator made use of the HUD/Model Cities Data Management System as well as the HUD Facsimile System.

The Data Management System utilizes codes which identify, describe, and classify conditions, processess, and locations of the various cities in the program. These data had been extracted from the cities' comprehensive plans by the staff of EDP Technology. In addition, data from cities' monthly and quarterly reports are also programmed for the IBM 360-65 computer.

The facsimile System permits data to be transmitted to the investigator almost immediately from a selected number of HUD Regional and Area Offices. Copies of original documents from CDAs, HUD/Regional Offices and HEW/Regional Offices are transmitted in less than six minutes through the use of this telephone equipment.

By using these methods the researcher was now able to code and classify some of the vague data which had not accurately reflected the actual situation in regard to CDA needs reported in the original comprehensive plans submitted by the cities. The following section describes the procedures utilized to analyze this information.

Interfacing Categorical Grant
Requests with Supplemental Fund Requests.

In order to find what categorical grant funds were requested by the model neighborhoods the Chief Advisor had to rely on the data stored in the HUD/Model Cities computer information bank. At the time this data was needed, he found data from only 47 of the Model Cities were placed into the bank. On Table 6 is presented the nature of the cities in this group of Model Cities.

TABLE 6

NUMBER AND SIZE OF MODEL CITIES IN SAMPLING

Size of Cities (Reported in Thousands)	First Round	Second Round	Total	Percent of Total Number of Model Cities %
Very Large				
750 and above	5	1	6	60
Large				
250-750	9	1	10	29
Medium				
50-250	15	6	21	32
Small				
Under 50	9	1	10	29
TOTAL	38	9	47	31

The data on this Table indicated that the 47 cities were a fairly good representative of the total number of Model Cities.

A data print-out, indicating all of the funds requested for each of the 47 cities was obtained from the information bank. From this print-out sheet, all the categorical grants fund requests were coded using the categories represented by the thirty cells on the matrix. From this coded data the Chief Advisor then determined for each cell how many cities had at least one request for categorical funds focusing on that cell. This was also done for the supplemental fund requests. Table 7 presents this composite data.

As is shown from the data in this Table, the heavy concentration of programs are focused in one cell; curriculum, instruction and supportive services at the elementary and secondary level. There were seven cells for which no cities had submitted projects. There were 14 cells for which no more than four cities had submitted projects.

Table 8 presents this same data in a different form. In order to collect the data for this Table, the Chief Advisor determined, for each cell, the number of cities requesting funds, whether supplemental or categorical, for projects focusing on that cell. An in-depth analysis of the print-outs from the computer revealed that a few of the CDAs had made requests linking categorical and supplemental funds for specific projects. This fact is reflected in the number of combined requests shown on this Table. The most noteworthy example is that of Nashville, Tennessee which had made requests for categorical and supplemental funds to line twelve educational projects. It was also interesting to not that Butte,

Montana had requests for nine funding linkages, one of which would be a four-agency linkage. This four-way linkage would include HUD/ Model Cities, HEW/OE, the Office of Economic Opportunity and U.S. Department of Labor. The purpose of this project would be to hire and provide for training para-professionals.

Table 7

NUMBER OF CITIES MAKING AT LEAST
ONE REQUEST FOR CATEGORICAL
OR SUPPLEMENTAL FUNDS

Educational Concerns	EDUCATIONAL LEVELS									
	Early Childhood		Elementary & Secondary		Vocational-Technical		Higher Education		Adult Basic & Continuing	
	a	b	a	b	a	b	a	b	a	b
Organization & Authority	7	0	15	3	0	0	0	0	0	0
Educational Personnel Development	2	3	24	17	0	2	2	2	3	1
Facilities	3	1	15	7	0	2	2	2	1	1
Curriculum, Instruction, and Supportive Service	15	20	43	30	14	7	6	6	15	13
Patterns of Community Involvement	6	10	14	9	0	0	0	0	0	0
Educational Alternatives	0	0	19	14	16	0	20	4	5	4

a. Number of cities utilizing supplemental funds in the specific category

b. Number of cities expressed need for categorical grand funds.

Table 8

NUMBER OF CITIES REQUESTING FUNDS WHETHER CATEGORICAL OR SUPPLEMENTAL

Educational Concerns	EDUCATIONAL LEVELS				
	Early Childhood	Elementary & Secondary	Vocational-Technical	Higher Education	Adult Basic & Continuing
Organization & Authority	7	16	0	0	0
Educational Personnel Development	3	31	2	3	4
Facilities	3	23	4	3	2
Curriculum, Instruction, and Supportive Service	24	45	9	9	20
Patterns of Community Involvement	13	27	0	0	0
Educational Alternatives	0	26	16	21	6

Analysis of The Education Components in the Plans Submitted by the Model Neighborhoods

This section will provide insights into the types of educational projects for which supplemental funds have been allocated.

The analysis of the education components within the plans submitted by the model neighborhoods was conducted by extracting pertinent educational data by means of a manual technique. This review was conducted by individually reviewing and synthesizing data for each of the cities from the following documents: (1) city comprehensive plans, (2) monthly reports, and (3) quarterly reports.

By the summer of 1970, 113 cities had had their city comprehensive plans approved for entering the executive stage of the program. (Shown on Appendix A). Approximately 35 of these cities were about to enter their second action year. The lack of detailed budget data on the educational projects and the massive and complicated task involved in analyzing the programmatic data precluded the completion of a comprehensive survey. As a result, conclusions drawn from the following observations must remain rather limited.

1. Only three of 113 cities did not have identifiable educational projects in their comprehensive plans.
2. There were a total of 595 educational projects utilizing supplemental funds.
3. The projects covered the educational spectrum from preschool to graduate studies, from high school vocational training to adult basic education, and from continuing education through store-front academies.

4. It is estimated that nearly 24 per cent of the supplemental funds will be expended directly on educational projects.

5. One of the most unique and comprehensive education components is that of the Chicago Model Cities program. Sixteen (16) of the educational projects and their many sub-projects will be operated by the Chicago Board of Education in more than forty of the schools located in the model neighborhoods. Of the $38,159,000 first year supplemental funds, $10,605,406 (25%) will go toward funding these projects which are directed toward institutional change.

6. The Dropout Prevention Project in Texarkana, Arkansas also stands out because of the unusual nature of its development (See: Appendices B & C).

7. Table 9 is used to illustrate the regional perspective of the education components within each region. It reveals the following:

   a. Each of the 10 regions had cities submitting education components.

   b. The total number of cities in the regions ranged from 5 in Region X to 27 in Region V.

   c. The number of cities submitting education components ranged from 4 in Region X to 21 in Region V.

   d. The percentage of cities submitting education components ranged from 61% in Region II to 100% in Region V.

e. The number of cities' education components analyzed ranged from 4 in Region X to 21 in Region V.

8. Table 10 is used to illustrate the State perspective of the educational components within the States. It reveals the following:

a. States within each of the 10 regions submitted education components.

b. The total number of States within the regions ranged from 3 in Regions II, III, and IX to 7 in Region IV.

c. The number of States submitting education components ranged from 3 in Regions II, VII, VIII, and IX to 7 in Region IV.

e. To date, a coordinated state response to the educational components of Model Cities ranges from minumal to none at all; yet, the State provides an ideal legal, geographic and political setting for useful assistance to model cities.[13] The U.S. Office of Education reported that approximately 90% of USOE funds go through the state education agencies for fiscal and programmatic control purposes.[14] The analysis revealed that

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[13]Memo from Oscar L. Mims to all HUD/Model Cities Staff and State Participation Advisors; Subject: State Response to Model Cities, April 10, 1970.

[14]Shedd, op cit., p. 8.

only 8 of the 44 State Departments of Education have attempted to play significant roles in assisting CDAs in the development of comprehensive urban education programs. Those eight States were: Massachusetts, New York, New Jersey, Florida, Michigan, Ohio, Texas, and California. The most noteworthy contribution was that of New Jersey. Appendices H, I and J provide additional insights into the experience of the New Jersey State Department of Education.

9. Table 11 is used to illustrate the level of involvement demonstrated by the colleges and universities in support of CDAs in developing comprehensive urban education programs. It reveals the following: (Also see Appendix K).

   a. At least 1 university within each of the 10 regions having cities submitting education components was involved.

   b. The total number of projects involving universities ranged from 1 in Region VII to 14 in Region VI.

   c. The amount of money allocated to involved universities ranged from $29,300 in Region VIII to $2,119,911 in Region IX.

   d. Appendix K reveals that colleges and universities are playing an increasingly valuable role in the Model Cities process. At the same time, the low number of universities participating (74) indicates that

TABLE 9

NUMBER OF CITIES SUBMITTING EDUCATIONAL COMPONENTS

(By Region)

Regions	Cities	Submitted	Percentage	Components Analyzed
I	20	15	75	15
II	18	11	61	11
III	14	11	79	11
IV	23	18	78	17
V	27	21	78	21
VI	17	14	82	14
VII	5	5	100	4
VIII	7	5	71	5
IX	14	9	64	8
X	5	4	80	4
Total	150	113	-	110

Source: The data presented here regarding the number of Model Cities in each region were derived from HUD/Model Cities documents. This table supplements Appendices D and E

TABLE 10

NUMBER OF CITIES SUBMITTING EDUCATIONAL COMPONENTS

(By State)

Regions	States	Submitting	Percentage
I	6	6	100
II	3[a]	3	100
III	5[b]	5	100
IV	7	7	100
V	6	5	83
VI	5	5	100
VII	3[c]	3	100
VIII	5	3	60
IX	3	3	100
X	4	4	100
Total	47	44	-

Source: The data presented here regarding the number of Model Cities by States were derived from HUD/Model Cities documents. This table supplements Appendices F and G.

[a] Includes Puerto Rico

[b] Includes the District of Columbia

[c] Wyoming was the only State not represented by a submission. (Mississippi, West Virginia, Nebraska, South Dakota and Nevada do not have Model Cities within their States.)

TABLE 11

NUMBER OF CITIES SUBMITTING EDUCATIONAL COMPONENTS

(Involving Colleges or Universities)

Region	Cities	Number of Projects	Amount of Money
I	7	12	731,120
II	5	9	1,700,000
III	6	9	729,595
IV	5	5	1,792,196
V	6	10	1,089,866
VI	8	14	1,120,214
VII	1	1	197,447
VIII	2	6	29,300
IX	4	5	2,119,911
X	2	3	1,188,948
TOTAL	46	74	$10,698,597

Source: The data presented here regarding college and university involvement in Model Cities were derived from HUD/Model documents.[15] This table supplements Appendix K.

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[15] HUD/Model Cities, Minutes of Meeting of the Washington Interagency Coordinating Committee, Meeting of February 27, 1969.

a greater involvement by universities is needed if all CDAs are really expected to develop comprehensive urban education programs. As suspected, predominately black colleges and universities have played an even less significant role in Model Cities. This point is reflected by the fact that only 8 black colleges are presently involved in the Model Cities process. The amount of funds going to these colleges is less than three-quarters of a million dollars, while more than $10 million is being allocated to support predominately white colleges. Table 12 illustrates a comparative analysis of this dire situation. No wonder Sister Ruby 2X asked "Why have world renowned institutions of higher learning in America failed . . .?[16]

e. Up to this time, there have been 11 major categories of university involvement in Model Cities. Examples are:[17]

(1) Date collection/Surveys

(2) Problem identification

(3) Planning projects

(4) Improving citizen involvement

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[16]Sister Ruby 2X, "New University of Islam Opens in Miami, Florida," Muhammad Speaks, January 8, 1971.

[17]The list was supplemented by data gathered from the publications produced by George Arnstein, "Colleges Can Reach Out to Troubled Cities With Action, Assistance, and Analysis," in College and University Business, (1969) and John K. Kendrick, The Model Cities Program: Opportunities for University Involvement, (1969).

(5) Grantsmanship

(6) Implementation and monitoring of projects

(7) Evaluation/Research

(8) Training

(9) Consulting services to CDAs

(10) Use of facilities

(11) Establishing urban institutes

f. One of the most unique projects involving universities is found in the Staff Development Laboratory of Washington, D.C.[18] This $239,000 project proposes to raise the quality of education and produce institutional change by exposing 60 teachers to the latest educational innovations in a graduate degree program. This will be a cooperative effort involving the D.C. Public Schools, Federal City College, D.C. Teachers College, and the University of Massachusetts (Amherst).

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[18] Arthur W. Eve of the University of Massachusetts is credited with designing and implementing this project.

TABLE 12

SUPPORT TO COLLEGES BY REGIONS

Regions	White Colleges	Black Colleges	Total
1	731,120	None	731,120
2	1,700,000	None	1,700,000
3	647,453	82,142	729,595
4	1,523,196	269,000	1,792,196
5	1,089,866	None	1,089,866
6	801,421	318,793	1,120,214
7	197,447	None	197,447
8	29,300	None	29,300
9	2,119,911	None	2,119,911
10	1,188,948	None	1,118,948
Total	10,028,662	669,935	10,698,597

Revised December 14, 1970

Summary

A summary of the procedures that were used in judging the comprehensiveness of the urban education plans follows:

1. Selected historical data on federal education activities, Model Cities Programs, and urban education were gathered and analyzed.
2. After collecting pertinent data through personal interviews, professional journals, reports, public and personal letters, textbooks, research studies, and Government documents, the philosophies and points of view held by several lending experts in the field of urban education were analyzed in order to determine the major educational variables which constitute the "universe" of urban education.
3. These variables which constitute the "universe" of urban education were then synthesized. Wherever there was 100 per cent agreement among the experts about the variable this writer assumed the variable to be a vital part of a comprehensive urban education program. A matrix was developed to show the level of agreement among the experts.
4. Utilizing these variables, a classification system was developed which was sufficiently comprehensive to categorize the pertinent federal categorical programs presently being funded by the U.S. Office of Education.

5. After thoroughly analyzing the nature or intent of the Federal legislation and guidelines for each categorical program having Model Cities relatedness, a simplified model of the categorical grant funding processes was designed.

6. The data from the education components of the Model Cities having submitted their comprehensive plans for review was extracted and synthesized through a manual technique in order to answer the following:

   a. The number of major educational concerns being funded by the supplemental funds and the amount of funds being utilized in each area of concern.

   b. The per cent of supplementary funds being utilized at the various levels of education (early childhood and child care, elementary and secondary, adult basic and continuing education, technical and vocational, and higher education).

   c. The per cent of supplementary funds being utilized in the various geographical locations throughout the nation.

7. The HEW/OE categorical grant programs were matched with the educational programs funded by the MCA supplemental funds to determine the kinds and amount of supplemental funds used which could have been supplied through the HEW/OE categorical grant funds.

8. Through interfacing, it was determining whether the degree of emphasis of the various categories of the HEW/OE grants were different from the degree of emphasis of the various categories of the supplemental grants, at both educational levels and educational concerns).
9. Through interfacing, the categorical grant programs which are earmarked for selected Model Cities were matched.
10. After designing a simplified model of the Model Cities funding process, this model was interfaced with the model for categorical grants.

From the procedures and data described above, the Chief Advisor reached the conclusion that "plans submitted by the model neighborhood did not reflect comprehensive urban education programs utilizing the most effective mix of categorical grants and supplemental funds focusing on local needs". He also concluded that a substantial amount of supplemental fund was being spent on projects for which categorical funds were available.

CHAPTER III

IDENTIFICATION AND DESCRIPTION OF THE MAJOR VARIABLES AFFECTING THE EDUCATION COMPONENT OF MODEL CITIES

Introduction

The previous chapter presented a description of the procedures and data that were used in reaching the conclusion that "the plans submitted by the model neighborhoods did not reflect comprehensive urban education programs utilizing the most effective mix of categorical grants and supplemental funds focusing on local needs." The design of the present study also called for the identification and analysis of the major variables affecting the education component of model cities. From the major events identified, procedures were used to determine the variables and interrelationships among the variables which have caused the dire situtation described in the above conclusion.

It is the purpose of this chapter to report the procedures used to gather the data and to provide a presentation and analysis of the findings. In short, this chapter deals with the specific identification of the major variables--personalities and organizational structures--affecting the education component of Model Cities. The information in this chapter has been organized into the following three areas: (1) procedures used to gather the data, (2) variables at the Federal level that have influenced Model Cities, and (3) variables within Model Cities that have influenced the education component.

Procedures Used

In order to identify the major variables affecting the education component of Model Cities, a case study was conducted which focused upon both historical and programmatic aspects of the program. The data for this case study was collected through the following methods:

1. Reviews of inter and intra departmental memoranda, letters, and reports.
2. Analysis of the education components in the plans submitted by the Model neighborhoods.
3. Analysis of the data retrieved from the HUD/Model Cities computerized information system.
4. Interviews with CDA Directors, HUD/Model Cities staff, residents in Model neighborhoods, HEW staff, State Department personnel, University personnel, Congressmen, White House staff, NEA personnel, personnel from local education agencies, and industrialists and businessmen.
5. Analysis of the nature or intent of the Federal legislation and guidelines for each categorical program having Model Cities relatedness.
6. Observation of committee meetings.
7. Review of government documents, publications and reports.

The data obtained from these procedures were collected and analyzed in order to identify major events, agencies and actors both

within and outside of those agencies. The following section is a presentation and an analysis of these major events, agencies, and actors.

Federal Education Activities

A complete history of Federal activities and programs related to education would be voluminous and far beyond the scope of this document. Nevertheless, it is appropriate to briefly highlight the currently increasing Federal concern for and interest in education within its proper historical perspective.

Under the 10th Amendment of the Constitution, public education in the United States has developed primarily as a responsibility of the various States.[1] According to Collins, most of the state constitutions specifically reinforce this federal placement of responsibility for education within the states, and all of the state legislatures have enacted statutory authority for appropriations to administrative agencies in order to provide the education of children and youth within the states.[2]

Although much of the responsibility for education within the states has been delegated to local school agencies, state departments of education continue to exert varying degrees of control and influence over local school agencies. In addition, since state departments

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[1]U.S. Congress, House, Federal Educational Policies, Programs, and Proposals, 90th Cong., 2nd sess., 1968, p. 13.

[2]George J. Collins, "Constitutional and Legal Basis for State Action" Education in the States: Nationwide Development Since 1900, ed. Edgar Fuller (Washington, D.C.: NEA, 1969), p. 7.

occupy a strategic position between the local school agencies and the Federal government, they are an important factor in influencing the educational opportunities that are available in each state.[3] In a face to face interview on October 4, 1970 with Floyd Christian, Florida State Commissioner of Education, it was stated that "SEAs should provide technical assistance to urban communities which will improve comprehensive planning at the local level--SEAs should assist LEAs in obtaining increased financial assistance from appropriate Federal agencies."

Federal education activities can be divided into two general categories: (1) federal operation of its own educational programs, and (2) aiding the states and territories in financing and otherwise promoting education at all levels within the state.[4] Although federal concern for education can be traced back to the instruction of men in the military service as early as 1777,[5] the most phenomenal growth period of federal educational interest and involvement has occured during the past two decades. The recent congressional concern over education is best illustrated by the marked increase in educational legislation enacted during this period and the current preoccupation on the part of a broad range of citizens. Federal involvement in education is adequately reflected in the enormous amount of literature that has become available on the subject.

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[3] Pearson, Jim B., Education in the States: Historical Development and Outlook, (Washington, D.C.: NEA, 1969), p. iii.

[4] H. Doc. No. 398, op. cit., p. 14.

[5] Ibid., p. 18.

Before turning to a more detailed analysis of the recent growth in Federal educational interest, it is important to note that in spite of this growth, actual Federal educational expenditures make up only a small percentage of the total dollars expended currently for education.[6] In addition, the various state level agencies that have been established to process Federal funds within each of the states exert a great deal of influence over the manner and location in which approximately 90% of those Federal dollars are spent. Thus, the degree of direct program control that can be exerted through the expenditure of Federal educational funds independent of state and local agency influence is still relatively small.

Presidential Concern

Statements originating within the Office of the President of the United States can be interpreted as one indication of the Federal interest in a particular topic. Over the past twenty years, Presidents of the United States have increasingly expressed their concern over the importance of education to the country and the growing Federal responsibility within education. This growing Presidential concern can be most effectively expressed in the following chronology of Presidential statements concerning education:

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[6] E.g., the highest rate of Federal expenditure for education to date occurred during the 1967-68 school year and was only 8 per cent of the total. See National Education Association, "Financial Status of the Public Schools," Washington, D.C.: NEA, 1969, p. 59.

- In 1949, at a time of expanding international tensions, President Truman remarked that "Education is our first line of defense . . ." "Education is the most important task before us."[7]

- On April 4, 1957, President Eisenhower reminded the people of America that "Our schools are strong points in our national defense. Our schools are more important than our Nike batteries, more necessary than our radar warning nets, and more powerful even than the energy of the atom."[8]

- During his annual message to Congress on education on January 12, 1965, President Johnson urged "that we push ahead with the No. 1 business of the American people--the education of our youth in pre-schools, elementary and secondary schools, and in the colleges and universities."[9]

- President Johnson remarked upon signing the Higher Education Act of 1965 on November 8, 1965, "I doubt that any future Congress will ever erect a prouder monument for future generations."[10]

- Upon signing the historic Elementary and Secondary Education Act of 1965--Public Law 89-10, on November 3, 1966, President Johnson stated, "Today, thanks to our great Congress, American boys and girls can look forward to the future with renewed hope. We have made the greatest national commitment to education in our history through our Federal Government."[11]

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[7] Public Papers of the Presidents, Harry S. Truman, 1949, p. 167.

[8] Public Papers of the Presidents, Dwight D. Eisenhower, 1957, p. 265.

[9] H. Doc., No. 398, op. cit., p. 42.

[10] Weekly Compilation of Presidential Documents, Vol. I, No. 16, Nov. 15, 1965, p. 478.

[11] Weekly Compilation of Presidential Documents, Vol II, No. 44, Nov. 7, 1966.

- In his message to Congress on March 3, 1970, President Nixon said that "American education is in urgent need of reform . . . We must stop imagining that the Federal government had a cohesive education policy during a period of explosive expansion --when our Federal education programs are largely fragmented and disjointed and too often administered in a way that frustrates local and private efforts."[12]

General Federal Expenditures for Education

Another way of reflecting the increasing Federal concern for education is to examine the growth of general Federal expenditures during the same twenty year period. Such an examination reveals an increase from 3.6 billion in 1950 to 12 billion in 1970. Outlays in fiscal 1970 represent an increase of 100 percent over those of 1965, 300 percent over 1959, and nearly 600 percent over 1955 (Shown on Table 13).

TABLE 13

FEDERAL EDUCATIONAL ACTIVITIES

(Composite of Several Studies)

Fiscal Year	No. of Programs	Funding Obligations (Billions)
1948	200	$ 3.7
1950	255	3.6
1955	315	2.1
1959	137	4.0
1965	159	6.0
1970	205	12.0

[12] Weekly Compilation of Presidential Documents, Vol. 6, No. 10, March 9, 1970.

The 1968 report on the Federal Educational Policies, Programs and Proposals, revealed that only forty-six (46) major new Federal educational policies and programs were enacted during the entire period from 1777 through 1960. The rapid increase in recent Federal educational involvement is illustrated by the fact that during the five year period from 1961 through 1966 there were one hundred and sixty (160) pieces of legislation enacted concerning education. Examples of legislation enacted during this five year period (1961-1965) are Public Law 89-10, the Elementary and Secondary Act of 1965, Public Law 80-329, the Higher Education Act of 1965, Public Law 89-784, and the Demonstration Cities and Metropolitan Development Act of 1966 (Model Cities) Public Law 89-754.[13]

During the past few years there has been a continued dramatic increase in Federal program involvement within education. A broad range of new education measures have been passed by the Congress; the level of Federal funding has risen sharply; and the American people have come to accept and expect a vastly enhanced Federal role.[14] There are currently operative sixty-nine (69) pieces of Federal education legislation. Virtually all of this legislation has been passed or renewed within the last eight years, and about fifty (50)of the resultant programs are administered by the Office of Education.[15]

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[13]Federal Educational Policies, Programs and Proposals, op. cit., p. 4.

[14]H 1658 Congressional Record (1969) (remarks of Congressman Brademas on the report of President Nixon's Task Force on Education, March 12, 1969).

[15]Ibid., p. H 1661.

Table 14 illustrates the growth in the absolute amount contributed to education by the Federal Government over the last twelve years. From 1958 to 1964, Federal funds almost doubled from $486,000,000 to $897,000,000. In 1965-66, with the passage of ESEA, a quantum jump occurred in a single year, with Federal funds more than doubling from $897,000,000 to $1,997,000,000. During the last three years, however, the growth has slowed, and in the last fiscal year it even declined slightly.[16]

TABLE 14

REVENUES FOR PUBLIC ELEMENTARY AND SECONDARY SCHOOLS

(In Thousands)

School year (1)	Total (2)	Federal (3)	State (4)	Local (5)
1957-58	$12,181,513	$ 486,484	$ 4,800,368	$ 6,894,661
1959-60	14,746,618	651,639	5,768,047	8,326,932
1961-62	17,527,707	760,975	6,789,190	9,977,542
1963-64	20,544,182	896,956	8,078,014	11,569,213
1965-66	25,356,858	1,996,954	9,920,219	13,439,686
1966-67*	27,256,043	2,162,892	10,661,582	14,431,569
1967-68*	31,092,400	2,472,464	12,231,954	16,387,982
1968-69*	33,743,748	2,455,547	13,729,344	17,558,857
Increase, 1957-58 to 1968-69:				
Amount	21,562,235	1,969,063	8,928,976	10,664,196
Percent	177.0	404.8	186.0	154.7
Annual rate (percent)	9.7	15.8	10.0	8.9

*NEA research division estimates.

[1]NEA research division estimates of Federal revenue may be lower than those published later by the U.S. Office of Education because of partial omission of money value of food distribution for the school lunch program.

Table from Committee on Education Finance, NEA, "Financial Status of the Public School," 1960, Washington, D. C., NEA, 1969, p. 59.

Sources: U. S. Department of Health, Education and Welfare, Office of Education, "Statistics of State School Systems, 1965-66", Washington D. C., Government Printing Office, 1968, p. 11.

National Education Association research division. "Estimates of School Statistics, 1966-67 and 1968-69." Research reports 1966-R 20 and 1968-R 16. Washington, D. C., the Association, 1966 and 1968.

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16 Task Force on Urban Education of the U. S. Department of Health, Education and Welfare. Urban School Crisis, Washington, D. C., National.

In order to place this growth of federal expenditure in its proper perspective, a NEA Research Bulletin (1969) reported that, "By expressing Federal, State, and local funds for education in proportions of total public elementary and secondary education expenditures, we see that the Federal share, after growing from 4.4 percent to 7.9 percent after the passage of ESEA, leveled and then declined over the ensuring three years to 7.3 percent of total expenditures."[17] (Shown on Table 15).

TABLE 15

PERCENT OF REVENUE RECEIVED FROM FEDERAL, STATE, AND LOCAL SOURCES FOR PUBLIC, ELEMENTARY, AND SECONDARY SCHOOLS

(In percent)

School year (1)	Federal sources (2)	State sources (3)	Local sources (4)
1957-58	4.0	39.4	56.6
1959-60	4.4	39.1	56.5
1961-62	4.3	38.7	56.9
1963-64[1]	4.4	39.3	56.4
1965-66[1]	7.9	39.1	53.0
1966-67[1]	7.9	39.1	53.0
1967-68[1]	8.0	39.3	52.7
1968-69[1]	7.3	40.7	52.0

[1]NEA Research Division estimates. NEA "Financial Status." op.cit., p.60.

Sources: U. S. Department of Health, Education and Welfare.

Thus, we see that there has been a dramatic increase in the total amount of Federal dollars expended for education during the past two decades. How-

17 National Education Association "Financial Status of the Public Schools," Washington, D. C.: NEA 1969, p. 59.

ever, since local and state funding levels have also risen sharply, the Federal percentage of total educational dollars rose only to 8 percent during the 1968-69 school year and has even declined slightly since that time. Although the purpose of Federal aid to education may have been to encourage the movement of local efforts in directions consonant with certain national objectives, a similar growth in funding rates at the state and local levels may have somewhat weakened the actual Federal impact on educational practices.

Urban Education

During the past decade, there has been a significant increase in the number of Federal programs which have been specifically oriented toward the restructuring of education in urban areas. The increase in Federal concern for education in urban areas is reflected in the remarks that former U.S. Commissioner of Education Harold Howe, II made in October of 1968 when he urged that up to $2 billion more Federal aid per year be concentrated on compensatory education for disadvantaged students in urban schools. He emphasized that the causes of the urban crisis cannot be neatly categorized into education, housing, race, transportation, environment or class, because "they are all of these at the same time."[18] On June 11, 1969, shortly after Dr. James Allen took over as the new U.S. Commissioner of Education, he reinforced the continuing Federal interest in urban education by stating that the first priority in education was the urban crisis which had shaken society at its very roots.[19]

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[18] Education Daily, (Washington, D.C.), November 1, 1968, p. 2.

[19] Education Daily, (Washington, D.C.), June 12, 1969, p. 3.

Numerous writers have also expressed their concern over the present inadequacies of urban education. Cohen has stated that too many of our urban schools are in trouble financially, socially and culturally. They are inadequately financed, inefficiently organized and unable to meet the demands of an increasingly complex society in the decade ahead. He recommends that new ways of financing education must be found.[20] Fantini has pointed out that most urban oriented compensatory education programs are merely prescriptions that deal only with the superficial symptoms of an educational illness which cannot be cured by simply increasing the number of field trips or hours of remedial reading that a child is exposed to.[21]

David Cohen has claimed that most of the programs designed to alleviate problems in urban education have focused primarily upon the deficiencies of the students while at the same time virtually ignoring the widespread deficiencies in schools. Cohen succinctly states that:

> . . .So much has been made of the deprivations children are supposed to have inflicted upon the schools that hardly any serious thought has been given to the institutional deficiencies of schools which regularly are inflicted upon children.[22]

In a recent study, Lewis concluded after an extensive review of the literature that currently a state of confusion existed as to

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[20]Wilbur J. Cohen, Where Do We Go From Here?, Washington, D.C., Government Printing Office, 1968, p. 5.

[21]Mario D. Fantini, et. al. The Disadvantaged: Challenge to Education (New York: Harper and Row, 1968), p. 112.

[22]David K. Cohen, "Compensation and Integration" Harvard Educational Review, Vol. 38, No. IV.

the future direction of compensatory education programs. He pointed out that . . . "it was clear that adding personnel, increasing special services, and obtaining more equipment will not alone constitute successful compensatory education programs."[23]

In spite of the massive array of Federal programs related to urban education within the almost twelve billion dollar total educational expenditure during the last fiscal year, most authorities have concluded that Federal aid has not appreciably assisted urban areas in the solution of their educational problems. The Urban Education Task Force concluded that:

a. The levels of Federal aid are low in proportion to the total cost of education.

b. Actual dollar amounts are low with regard to increase in per pupil expenditures.

c. Administrative procedures of many State and local educational agencies have diluted the effects of aid through poverty formulas.

d. Uncertainty regarding levels and availability of funds have minimized effective planning efforts.

e. Federal funds are distributed in a fashion which permits wealthy districts to receive more than or at least as much money per pupil as poor districts.

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[23]Cornell T. Lewis, A Study of Various Factors in Head Start and Title I in Twenty School Districts. (Unpublished Ed.D. Dissertation),University of Massachusetts, December, 1970, p. 23.

f. Funds of many Federal programs are not distributed to the cities in shares which are proportionate to cities' percentages of State student population.

g. The Federal Government does not have systematic ways of measuring its own overall resource allocation priorities in education.[24]

Federal Interagency Cooperation

One of the greatest problems in analyzing the impact and potential for improvement of Federal educational aid is the immense information gap that exists between what we should know about the patterns of allocation of funds and what we actually do know.[25] Simply stated, there presently exists a pervasive lack of Federal awareness of existing patterns of program allocations, and this lack of available information makes the task of effectively allocating additional resources virtually impossible. However, this is not really surprising, since even the most effective educational researchers, with their current conceptualizations and methodologies, have not generally provided clear insights into the interrelatedness of the problems of poverty and it has been suggested that a thorough understanding of this interrelatedness is a prerequisite to a more effective utilization of future program allocations.[26] Pilot and demonstration educational programs have

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[24]Urban Education Task Force, op. cit., p. 21.

[25]Ibid., p. 20.

[26]Dolan M. Muffey, "The Functional Interrelationship Between the Problems of Poverty and Future Program Allocations". Unpublished papers of Dr. Dolan M. Muffey, Canfield Press, (San Francisco, California 1969), p. 93.

typically lacked the scope and comprehensiveness necessary to provide an adequate information base, and experience has shown that simply spending additional funds on tasks we are already performing will not help us to better understand how to significantly improve our impact on urban education.[27]

Senator Edmund Muskie, the Chairman of the Senate subcommittee on intergovernmental relations stated the problem as viewed by his subcommittee after a three year study:

> We found substantial competing and overlapping of Federal programs, sometimes as a direct result of legislation and sometimes as a result of empire building. Similar competition and duplication were found at the State and loval levels. We learned that too many Federal aid officials are not interested in, and in fact are even hostile to coordinating programs within and between departments, and that they are reluctant to encourage coordination and planning at State and local levels. These conditions frequently and predictably result in confusion and conflicting requirements which discourage State and local participation, and adversely affect the administrative structure and fiscal organization in these jurisdictions . . .
>
> In short, we found conflict between professional administrators at the State and local levels, between line agency officials and elected policymakers at all levels, between administrators of one aid program and those of another, between specialized middle-management officials and generalists in the top-management category, and between standpat bureau heads and innovators seeking to strengthen the decision-making process at all levels.
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> The picture, then, is one of too much tension and conflict rather than coordination and cooperation all along the line of administration--from top Federal policymakers and administrators to the State and local professional administrators and elected officials.[28]

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[27] Ibid., p. 97.

[28] Congressional Record, Vol. 112, 89th Cong., 2nd sess., (1966) p. 6834.

The Federal Government has expressed with increasing frequency its interest in achieving coordination among State agencies as well as Federal agencies and among federally funded programs having impact at the local level. "Inter" and "intra" departmental reorganization and coordination have become a major Federal concern. The First Annual Report to the President on an Inter Agency Program (1970) reported on the progress of the "New Federalism's" nine-point program. The report stated that,

> "One year ago, the President ordered the Budget Bureau and all ten Urban Affairs Council agencies--Agriculture, Commerce, HEW, HUD, Interior, Justice, Labor, OEO, SBA, and DOT--to mobilize a three-year interagency program to cut red tape and streamline the delivery of Federal assistance. Our goal is to drastically reduce the waste of an over-elaborate and patternalistic Federal oversight of State and local programs serving the people of the Nation. The program is fully operational.
>
> It is coordinated by a steering group with top leadership from all agencies.[29]

Another example of the emerging Federal emphasis on interagency cooperation occured during a recent meeting of the Urban Education Committee, of the U.S. Office of Education. In that meeting, Peter Muirhead, a Deputy Commissioner of Education, stated that the desired role of the Federal government in urban education would be to look to the Urban Education Committee as the principle source from which program planning priorities will emerge.[30]

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[29]"U.S. Bureau of the Budget, First Annual Report to the President on an Inter Agency Program," Simplifying Federal Aid to State and Communities, March, 1970.

[30]This position was expressed during the meeting of the Urban Education Committee in October, 1970.

A final example of this Federal attempt to promote interagency cooperation occured in March of 1969 when President Nixon directed HUD, HEW, Labor, OEO, and SBA to realign their regional geographic boundaries according to a standard ten-region pattern. Since comprehensive urban education programming requires resources from many types of categorical grant programs,it is essential that the various granting agencies effectively collaborate in their efforts. In the past, categorical grants have been narrowly defined in purpose and scope and have been rigidly controlled,since each had its own Federal guidelines, policies, priorities, administrative requirements, fiscal regulations, and voluminous documentation and reporting systems. By unifying the system of regional boundaries for all of these agencies, the Federal government hoped to take the first step toward more effective interagency cooperation.

Summary

This section has focused upon several variables at the Federal level which must be taken into consideration when viewing the emergence and development of the Model Cities Program. The growing Federal concern over education during the past several decades was illustrated by briefly reviewing a number of Presidential statements and by examining the level of general federal expenditures for education during that period of time. The more recent federal focus on the problems of urban education was then emphasized. Finally, this section concluded with a description of the emerging Federal concern for interagency program cooperation. It will become evident in the next section, that all of these variables influenced the final shape of the Model Cities program.

Model Cities Program

The Demonstration Cities and Metropolitan Development Act of 1966 (Public Law 89-754) marked a turning-point in the development of Federal legislation relating to intergovernmental coordination and comprehensive local planning. Public Law 89-754 calls for a comprehensive attack on social, economic, and physical problems in selected slum and blighted areas through concentration and coordination of Federal, State, local and private efforts. The Act is directed towards enabling cities:

- to rebuild or revitalize large slum and blighted areas;
- to expand housing, job, and income opportunities;
- to reduce dependence on welfare payments;
- to improve educational facilities and programs;
- to combat disease and ill health;
- to reduce the incidence of crime and delinquency;
- to enhance recreational and cultural opportunities;
- to establish better access between homes and jobs;
- and generally to improve living conditions for the people who live in such areas . . ."

Although the U.S. Department of Housing and Urban Development has final administrative responsibility for the program, it was apparent that in order to be successful, effective inter-agency cooperation would be essential. In order to assure this Federal cooperation, a policy group was established composed of representatives from the (1) Department of Agriculture, (2) Commerce (Economic Development Administration), (3) Health, Education, and Welfare, (4) Justice (Community

Relations Service) (5) Labor, (6) Transportation, (7) Office of Economic Opportunity, (8) Interior, and (9) Small Business Administration.

This section will provide a detailed description of those variables within the Model Cities Program that have influenced the development and operation of the Model Cities education component.

Statutory Provisions

In searching the statutory and administrative rules which govern the use of Model Cities funds, (Section 101, 103(a), 105(d) and 106) it appears that the City Demonstration Agency, which is established under the authority of the city government, has a clear incentive to devise new and innovative projects which will reorient existing resources to better uses and would mobilize additional resources. Examples of statutes which reinforce such an incentive on the part of the City Demonstration Agency are as follows:

- Section 101 states . . . "The purposes of this title are to provide additional financial and technical assistance to enable cities of all sizes (with equal regard to the problems of small as well as large cities) to plan, develop and carry out locally prepared and scheduled comprehensive city demonstration programs containing new and imaginative proposals . . . and to accomplish these objectives through the most effective and economical concentration and coordination of Federal,State, and local public and private efforts to improve the quality of urban life."

- Section 103(a) states that the purpose of Model Cities ". . . to make marked progress in reducing social and educational disadvantages."
- Section 105(d) states . . . "Grants shall be made available to assist new and additional projects and activities not assisted under a Federal-grant-in-aid program.
- Section 106 states . . . "The Secretary is authorized to undertake such activities as he determines to be desirable to provide, either directly or by contracts or other arrangements, technical assistance to city demonstration agencies to assist such agencies in planning developing, and administering comprehensive city demonstration programs."[31]

Legislative History

The final passage of Public Law 89-754 was the result of insistent and persistent maneuvering by a number of key individuals and groups. The last minute rush and the substantial number of redrafts may have left resentment, if not latent hostility within some members of Congress who opposed the bill. From the questioning in the Committee hearings, the compromises accepted, and the Floor debates it appeared that the future of the Model Cities program was at best, uncertain. The most appropriate approach for describing the legislative history

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[31]U.S. Congress, House, Demonstration Cities and Metropolitan Development Act of 1966, Public Law 89-754, 89th Cong., 2nd sess., 1966, H.R. 12341, pp.1-4.

of Model Cities is through a chronological description of significant events. This chronology is not meant to be all-inclusive; instead, it is intended to summarize some of the major events surrounding the passage of this Act and identify some of the key individuals who conceived this urban strategy.

October, 1965 - Congress established the U.S. Department of Housing and Urban Development, the 11th Cabinet - level department and the first created since 1953.

October, 1965 - President Johnson appointed Robert C. Wood as Chairman of a Special Task Force on Urban Problems to develop the basic concept relating to a "demonstration cities" plan. Some of the other members included Whitney Young and Walter P. Reuther.

January 12, 1966 - In his State of the Union Message, President Johnson called for added public and private efforts to eliminate urban blight. In January 1966, President Johnson stated . . . "We must strengthen the coordination of Federal programs in the field."[32]

January 26, 1966 - President Johnson submitted a message to Congress which spelled out specific requests and offered specific proposals for "demonstration city" planning assistance.

January 27, 1966 - Legislation to implement the proposals, which became the Demonstration Cities and Metropolitan Development Act of 1966, was introduced as H.R. 12341 (Congressman Wright Patman) and S. 2842 (Senator Paul Douglas and 15 co-sponsors).

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[32]Reporter, Vol. 34, No. 6 (March 24, 1966), p. 41.

February 28, 1966 - Making his first Congressional appearance as Secretary of HUD, Robert Weaver presented the Administration's position on H.R. 12341. He stated that the city demonstrations had "focused the attention of Congress and the entire nation on the most critical domestic problem facing the United State--the need to improve the quality of urban life." The original concept was developed on the basis of between 60 and 70 cities participating in the demonstration. Many questions arose relating to the selection criteria. The estimated cost of the program for a five-year period was placed at $2.3 billion.

March 1, 1966 - Mayor Hugh J. Addonizio, Newark, N.J., Mayor James P. Cavanagh, Detroit, Michigan and Mayor John V. Lindsay, New York City, appeared in the Congressional hearings to endorse the city demonstration proposal.

Early March, 1966 - Senator Edmund S. Muskie of Maine, Chairman of the Senate Subcommittee on Intergovernmental Relations, presented a detailed analysis of the coordination problem at all levels of government and a series of proposed remedial measures, which he said had grown out of a three-year subcommittee study.

March 10, 1966 - Alan L. Emlen, National Association of Real Estate Boards, and James F. Steiner, Chamber of Commerce of the United States opposed H.R. 12341.

April 26, 1966 - Senator Jacob K. Javits (R., N.Y.) not only endorsed the proposal but requested that the bill be substantially broadened.

Late April, 1966 - Both Subcommittees had finished the public hearings and it was becoming clear that the legislation was in deep trouble. Some Congressmen felt that the proposals from cities would counteract the segregation of housing by race or income. Others thought that the "demonstration" was too costly. Some were convinced that a vote for a demonstration program was a risky vote because cities in so few Congressional districts would be designated. Some Mayors expressed their displeasures because of fears that a disaproportionate share of urban renewal funds would be allocated to demonstration cities, thereby depriving other cities of such funds.

June 1, 1966 - Vice President Humphrey placed a call to House Subcommittee Chairman Barrett during a meeting of a bi-partisam coalition and told him the Administration could not support a scaled-down bill which would reduce the program to $12 million for planning only.

June 10, 1966 - During a White House meeting, Secretary Weaver and Larry O'Brien argued that H.R. 12341 could prevail with an all out effort.

June 23, 1966 - By a 7 to 3 vote, the House Subcommittee reported out a full bill with only minor changes in the demonstration cities proposal.

June 28, 1966 - By a vote of 18-8, the full Banking and Currency Committee approved the bill after adding four minor amendments.

Late June, 1966 - Senator Edward Muskie (D., Me) agreed to be Floor manager for the Demonstration Cities bill after the two usual leaders in the housing legislation, John Sparkman and Paul Douglas announced that they would not be available.

July 13, 1966 - Because of strong objections to the cost and the racial integration features in the bill, the Senate Subcommittee decided to cut back the program's duration and delete the integration clause.

Mid July, 1966 - Still with the racial integration criterion included in the bill, the 15-man House Rules Committee was split with a Southerner holding the swing vote.

July 27, 1966 - Senate subcommittee recommended bill to full Committee.

August 9, 1966 - By a vote 8-6, the bill was reported from the full Committee with certain modifications. They were (1) reduction of urban renewal "add-on", (2) a three-year program instead of six, (3) special stress on cities of all sizes, and (4) deletion of the provision specifying racial and economic integration.

August 19, 1966 - The Senate passed the Demonstration Cities Bill by a 53-22 roll call cote and sent it to the House. During the two-day Floor debate, the following Senators were among those who supported the bill: (1) Muskie, (2) Fulbright, (3) Mansfield, (4) Pastore, (5) Javits, (6) Clark, (7) Kennedy, and (8) Ellender. Senators McGovern and Mondale succeeded in adding an amendment related to the

inclusion of county governments before the final vote was taken.

September 1, 1966 - By a vote of 23-8 the full House Banking and Currency Committee reported out the Senate approved bill.

Early September, 1966 - Congressman Paul A. Fino (R., N.Y.) criticized the bill for giving federal housing and education officials dictatorial powers over city living patterns. Congressman W. E. Brock (R., Tenn) criticized the measure as a hypocritical device to gain control of local government.

October 13, 1966 - Representative Fino led the most acrimonious debate of the session. He shouted "Let us make no mistake about it. If you vote for this scheme, you are voting for forced busing--I repeat forced school busing, pairing and redistricting. There is nothing you can do to stop it short of killing the program." In view of the close veto expected on passage, the Administration agreed to amend the measure specifically to prohibit the HUD Secretary from conditioning demonstration cities or incentive planning assistance on local agreement to bus children, or from conditioning incentive planning aid on local adoption of any other program to further a racial balance in schools.

Mid October, 1966 - The House considered no less than 37 amendments, adopting 20. All major threatening amendments were defeated.

October 17, 1966 - The Conference Committee resolved differences between the House and Senate versions of the bill and agreed tentatively on a compromise version. A procedural quirk threatened to delay final passage until early in the 1967 session. It was related to aid purchasers of seasonal (vacation) housing.

October 19, 1966 - The Conference Report was filed with Republicans refusing to sign, alleging unfair scheduling.

October 20, 1966 - The Senate approved the Conference Report with a vote of 38-22. The House adopted the Conference Report by a narrow 16-vote margin, 142-126.

November 3, 1966 - The bill became Public Law 89-754 with the signing by President Johnson. HUD adopted the term "Model Cities" because throughout his November 3 statement the President called the program "Model Cities" rather than "Demonstration Cities." Thus, the new term "Model Cities" was created.[33]

November 4, 1966 - A day of waning public support for President Johnson and his Great Society as a result of the loss of three Democratic Senate seats and forty-seven Democratic seats in the House of Representatives.[34]

Early November, 1966 - Secretary of Health, Education and Welfare John W. Gardner told the Muskie subcommittee that coordination among Federal agencies leaves much to be desired. Communication between the various levels of government - Federal, State and local - is casual and ineffective. State and local government is in most areas seriously inadequate.[35]

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[33]Richard Cherry, "History of Congressional Action Relative to Model Cities" (unpublished HUD document), HUD/Model Cities, 1967, pp. 1-45.

[34]James L. Sundquist, Making Federalism Work, (Washington, D.C.: The Brooking Institution, 1969), p. 82.

[35]Creative Federalism, Hearings before the Subcommittee on Intergovernmental Relations of the Senate Government Operations Committee, 89th Cong., 2nd sess., (1966), p. 267.

January 1967 - The President's budget message made clear that the new model cities program had supplanted community action in the minds of the President and his staff advisors, as the central instrument for coordinating the Great Society's attack upon the problems of the urban slums.[36]

Organizational Structure

It would be extremely difficult to fully understand how the Model Cities Program actually functions without an awareness of its present internal organizational structure.

The Model Cities Program is directed by an Assistant Secretary who is responsible for coordinating the Federal effort for helping solve urban problems.[37] Within Model Cities, the Office of Program Development is responsible for assisting the Assistant Secretary in all aspects of interagency relations such as: (1) the mobilization of financial and technical assistance, (2) the modification of Federal procedures and policies affecting Model Cities planning and implementation and (3) the establishment of procedures at the Federal level which will enable Model Cities to coordinate effectively all planning and action projects in the model neighborhood. Sub-units of this staff are responsible for program development and monitoring in the following areas: (1) human resources (education, health, income

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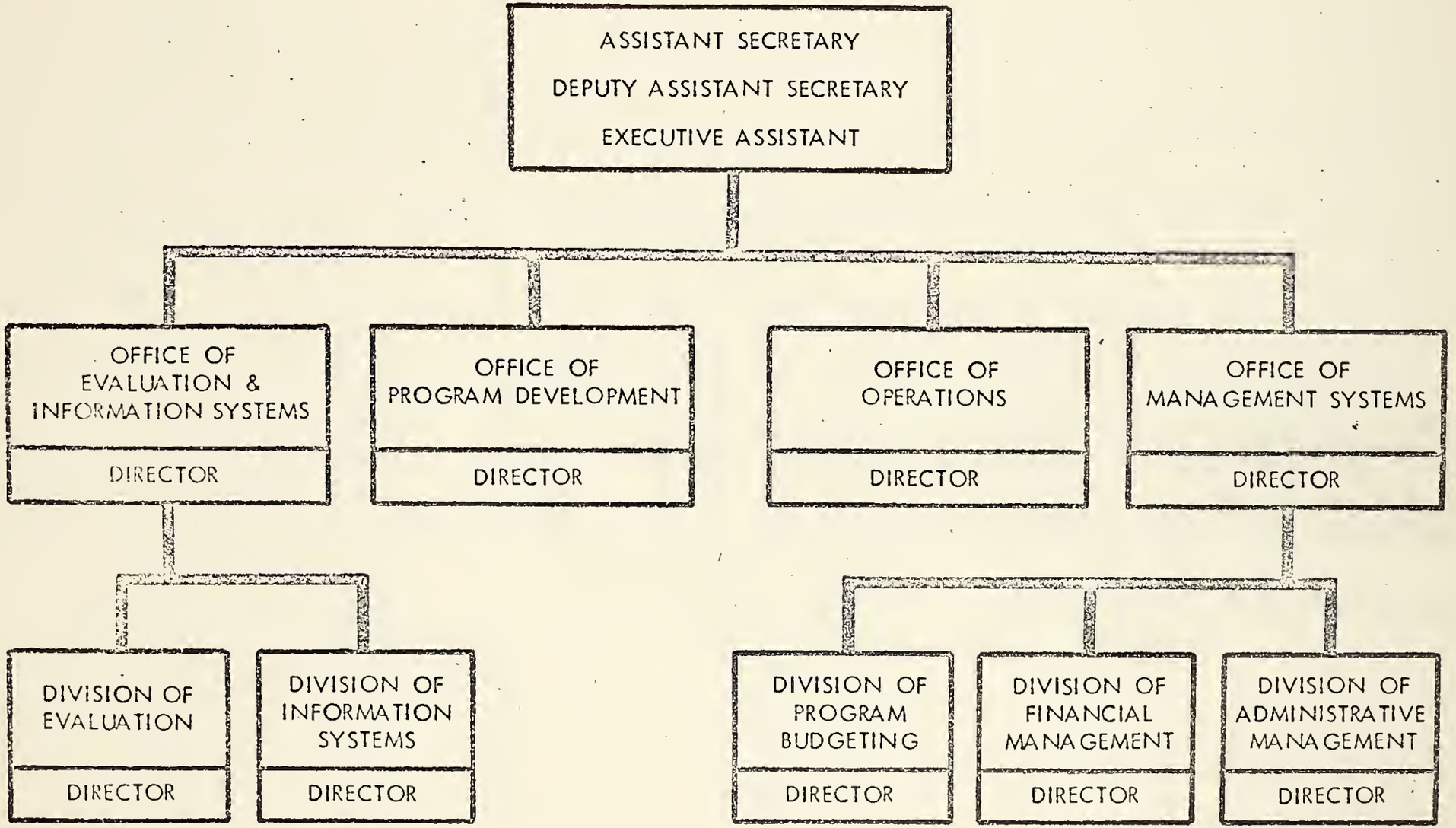
[36]The Budget Message of the President, Jan. 24, 1967, in The Budget of the United States Government for the Fiscal Year Ending June 30, 1968, pp. 25-26.

[37]See Figure 4.

ASSISTANT SECRETARY FOR MODEL CITIES



maintenance, coordinated social services, consumer programs, recreation, culture and family planning; (2) manpower and job development; (3) economic and business development; (4) crime, delinquency and legal service programs; (5) housing and renewal; (6) urban planning, relocation and public administration; and (7) State participation. The Program Development staff also provides support for the interagency policy group and the working group and is responsible for the guidance of the program specialists in the Regional Offices.

Program Chronology

Even after the legislation was passed by Congress and the internal organizational structure of Model Cities was determined, a great deal of work remained to be done before the Model Cities Program could actually begin to operate. This section will familiarize the reader with the chronological series of events around which program development activities occured.

November 1966 - Assistant Secretary Taylor's staff prepared a Program Guide explaining the procedures and format for planning grant applications.

December, 1966 - The Model Cities Guide entitled Improving the Quality of Urban Life was distributed with the help of the U.S. Conference of Mayors and the National League of Cities.

January, 1967 - Assistant Secretary Taylor held a series of meetings around the country to explain the Model Cities program.

May 1, 1967 - Despite the short filing deadline, 193 cities from 47 states submitted planning grant applications for the $10.25 million appropriation.

May 8, 1967 - Secretaries John W. Gardner (HEW) and Robert C. Weaver, (HUD) agreed to make arrangements to assure full cooperation regarding the operation of the Model Cities program through close coordination between the Center for Community Planning in HEW and HUD/Model Cities.

Summer-Fall, 1967 - The review of the applications was carried out by HUD in conjunction with other interested Federal agencies. Regional and Washington recommendations were based upon evaluation of the applications according to five criteria:

- scope of the problem analysis
- innovative approaches suggested
- capacity to carry out the program
- commitment of local government and private groups to meet urban problems and carry out theprogram
- suitability of the designated area for a comprehensive program, in terms of geography and population.

The purpose was clear: To select those neighborhoods, all across the country, where the concentration and coordination of federally assisted programs could have the maximum impact in solving urban problems.

September, 1967 - The External Advisory Council of the NEA Committee on Civil and Human Rights of Educators conducted a two-day workshop on Model Cities and endorsed it.[38]

December 7, 1967 - An interagency guideline was released that reflected the commitment of the Departments of Labor; Health, Education and Welfare; Housing and Urban Development; and the Office of Economic Opportunity to work together to assure success of the Federal effort in the Model Cities program.

November 16, 1967 - Secretary Weaver announced that 63 cities and counties would receive Model Cities planning grants.

December 29, 1967 - The Office of Field Services, HEW/OE was selected as the coordinating office for the educational component of the Model Cities program.

January 8, 1968 - The first meeting of Urban Education Committee of the Office of Education was held. Representatives from each of the operating Bureaus constituted the Urban Education Committee.

January, 1968 - HUD announced an April 15 deadline for second round cities.

March 1, 1968 - Proposed planning work programs had been developed for most of the cities.

March 12, 1968 - Twelve (12) additional cities were selected and this raised the number of first round Model Cities to 75.

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[38]National Education Association, Impact of Model Cities on the School System, (Washington, D.C.: NEA, 1967), p. 1.

April 15, 1968 - 163 applications were received, including 83 from unsuccessful first round applications.

April 26, 1968 - HEW Secretary Wilbur J. Cohen announced that Model Cities was the Department's highest priority for manpower and funds.

April 28, 1968 - Robert C. Wood, Under Secretary of HUD requested that Harold Howe, U.S. Commissioner of Education consider a reservation of some of the anticipated appropriations under the Education Professions Development Act for meeting training needs in Model Cities neighborhoods.

May 3, 1968 - Charles J. Zurick, Director of the Budget gave HUD Secretary Robert C. Weaver his commitment to the proposed steps to assure maximum effective programming of funds for Model Cities during fiscal year 1969.

May 13, 1968 - U.S. Commissioner of Education, Harold Howe informed Robert C. Wood that OE will be happy to consider reserving some portion of funds appropriated for the Education Professions Development Act for Model Cities Training programs.

June 26, 1968 - Walter G. Farr, Director of HUD/Model Cities was informed that unless some reasonable earmarking request (based on estimates if necessary) were made in June concerning EPDA funds, OE would find it extremely difficult to keep Commissioner Howe's commitment to Model Cities.

June 27, 1968 - HUD/Model Cities employed Oscar L. Mims as Chief Education Advisor.

Early July, 1968 - The Chief Education Advisor informed Neal Shedd, Coordinator for Urban Education, HEW/OE that HUD/Model Cities was requesting an earmarking of $3.5 million from EPDA for training needs in model neighborhoods.

September 13, 1968 - James F. Kelly, Chairman of HEW Task Force on Model Cities Funding outlined the preliminary recommendations and plan of action for Model Cities earmarking.

September 20, 1968 - HUD/Model Cities Assistant Secretary H. Ralph Taylor called a meeting of the Washington Coordinating Committee (WICC) to discuss the expected FY 70 demands on existing Federal grant programs.

October 22, 1968 - Sam Kavnick, OE official called for an unofficial, unstructured interagency coalition to exchange urban education information.

November 4, 1968 - National elections brought in a new Administration.

November 20, 1968 - HEW Task Force on Model Cities Funding announced that OE would earmark $17.75 million for Model Cities from the new project discretionary funds. This amount included funds from 14 programs revealing a Model Cities relatedness. The amounts ranged from $100,000 for Education for the Handicapped to $4.7 million for Teacher Corps. Regional allocation of funds for each program was due by December 2, 1968 and distribution of tentative earmarking by Model

Neighborhood was scheduled for December 30, 1968.

Summer-Fall, 1968 - The review of the second round applications took place.

November 21, 1968 - 75 second round cities were announced.

Spring, 1969 - HUD's fiscal 1970 budget requested $13 million for third round planning grants. The Bureau of the Budget eliminated the request.[39]

Spring, 1969 - Having been enacted in 1966 during the Johnson Administration, the Model Cities program faced an uncertain future after the 1968 elections brought in a new Administration. As early as January, 1969, the program was placed under intensive scrutiny by the Nixon Administration. Ironically, it is now being promoted as the ideal showpiece for the New Federalism on which the President is basing his domestic policy.[40]

Early, 1969 - The 110 day void of inactivity following the inauguration of the new President permitted program managers in OE the liberty of repeatedly reallocating funds without the approval of the Task Force on Interagency Funding.

Early 1969 - President Nixon made a decision to determine whether or not the Model Cities program that he had inherited was in fact achieving its objectives. A subcommittee of the Urban Affairs

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[39] U.S. Department of Housing and Urban Development, "Transition Briefing Paper for Model Cities", Washington, D.C., December, 1968.

[40] William Lilley III, "Model Cities", National Journal, July 11, 1970. p. 1467.

Council (Executive Office of the President) was established to study and make recommendations for the program's future administration.

April 18, 1969 - Secretary Romney stated that the Subcommittee on Model Cities found the program's goals to be sound, but that there have been critical deficiencies in its administration which call for immediate correction. Among them:

1. Federal agencies have not been sufficiently responsive to local proposals reflecting specific local conditions.
2. In developing their proposals, local authorities have been hindered by uncertainty as to the amounts of funds that would be available from the Federal departments.
3. Few effective attempts have been made to secure the involvement of State governments.
4. Federal guidelines have forced cities to set model neighborhood boundaries that often have been arbitrary, and that have created unnecessary divisions among Model Cities residents.

Based on the recommendations of the Urban Affairs Council, the President revised Model Cities in the following important respects:

1. The Council for Urban Affairs assumed direct responsibility for inter-departmental policy affecting Model Cities
2. Secretaries of the departments involved were given personal supervision of their departments' funding of Model Cities proposals, and could reserve program funds specifically for that purpose. This ensured the availability of

departmental funds for Model Cities, and gave local authorities a better idea of the amount and kind of funds they could expect from the various departments for their Model Cities plans.

3. Administration of the program was to be fed into the reorganization of the regional Federal offices, currently underway. One effect of this will be to facilitate inter-departmental coordination at the regional level. In the past, variations among the Federal offices in program procedures, headquarters locations, and structures of authority, have handicapped well-intentioned Federal officials and confused local officials, thus seriously compromising the Model Cities program at the city level.
4. Greater efforts will be made to involve the State governments in the Model Cities program. Lack of State involvement has proven a critical deficiency because many of the Federal funds needed for Model Cities are administered through State agencies. The aim will not be to add another administrative layer between the cities and the Federal Government, but to make better use of the States' resources, experience and perspective. Model Cities is intended to be and will remain a local government program centered upon the Mayor's office with a continued requirement for adequate citizen involvement.[41]

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[41] Press Release, HUD News, April 28, 1969, pp. 1-4.

Late Spring, 1969 - it was becoming clear that the new Administration had decided to revamp the program into one with a decidedly Republican orientation.[42] Consequently, the Urban Affairs Council assumed direct responsibility for inter-department policy affecting Model Cities. In a sense, Model Cities became a subsystem of a large system--the Urban Affairs Council. It is this suprasystem, the Urban Affairs Council, from which Model Cities receives authority to facilitate inter-departmental coordination and cooperation. Figure 5 is used to illustrate the interlocking relationships among the various members of the Urban Affairs Council.

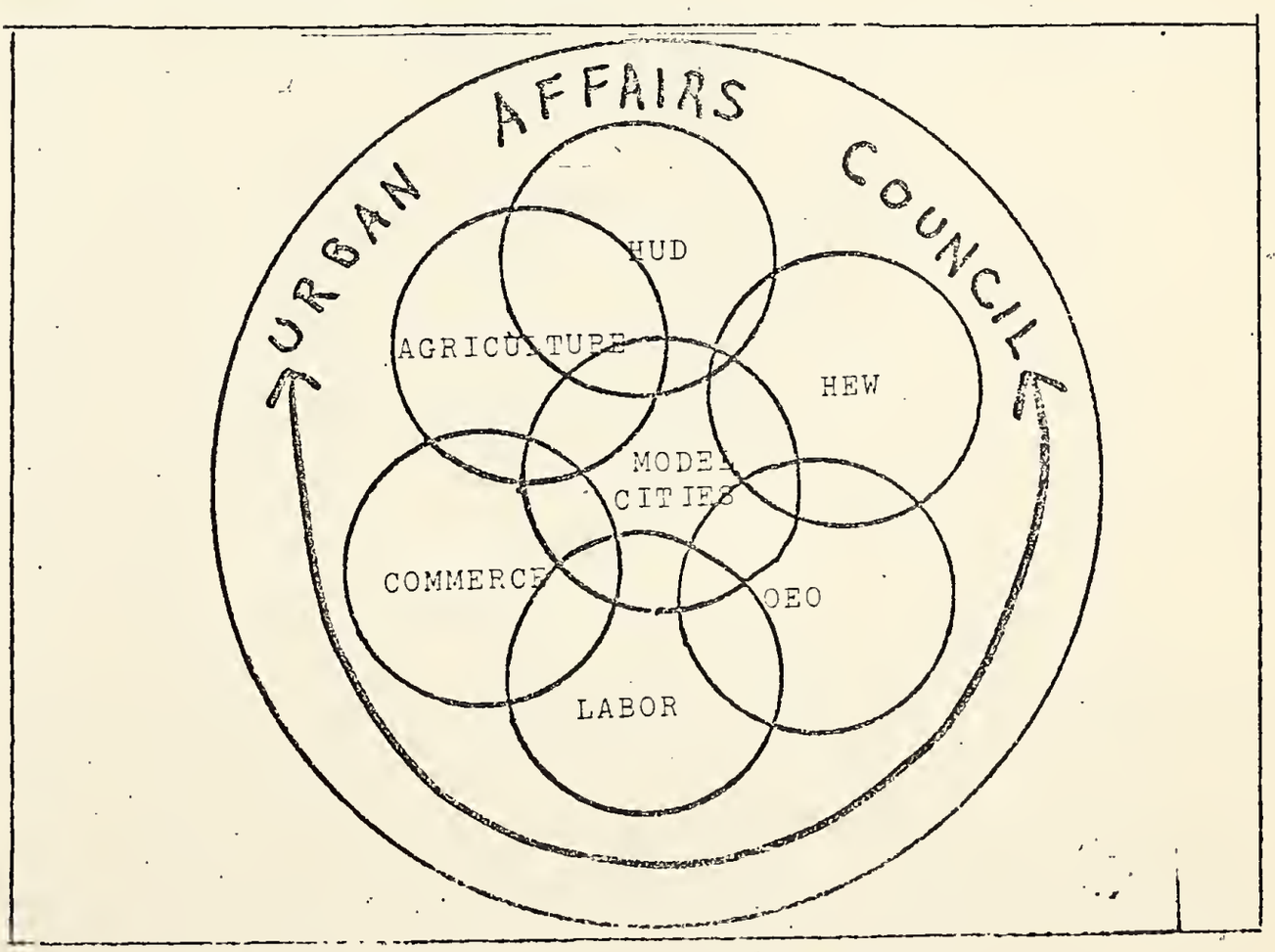

Figure 5--The Urban Affairs Council Suprasystem

[42]Lilley, op. cit., p. 1467.

March 3, 1969 - The Chief Education Advisor warned Tom Israel, Deputy Director, HUD/Model Cities that there were indications that OE was intentionally mis-directing earmarkings.

May 12, 1969 - Secretary Romney reported to the Congressional Subcommittee on Housing of the House Committee on Banking and Currency that "I have not found anyone who quarrels with the basic objectives of the Model Cities program."

June 27, 1969 - HUD/Model Cities awarded a contract to the New Jersey State Department of Education to provide technical assistance to the nine CDA's within the state and provide indirect technical assistance to as many as five other State Departments of Education.

June 30, 1969 - The "earmarked" funds from OE were spread thinly over 67 cities, and there was evidence of some late FY 69 "dumping" in second round cities with no plans and notification of the CDA. The substantial changes in distribution (as compared to earlier earmarking) would seem to indicate lack of OE commitment to Model Cities.

July 5, 1969 - EPDA announced that the FY 70 commitment of the Career Opportunities Program projects concentrated in Model Cities areas had been set at 30% of the COP appropriations.

July 15, 1969 - Russ Wood, Deputy Associate Commissioner invited the Chief Education Advisor and Model Neighborhood residents of selected Model Cities to participate in COP National Conference in Denver.

September 24, 1969 - President Nixon announced that Edward C. Banfield, Professor of Government at Harvard University would head a special Task Force on Model Cities. The Task Force was asked to review the current status of the Model Cities program, evaluate its operations to date and make recommendations concerning its future direction. Although the Banfield Report was submitted to the President on December 16, 1969, it did not become a public document until the Summer of 1970. The principal recommendations of the Task Force were as follows:

- Most Federal aid should go to the cities by way of revenue-sharing rather than by categorical grants-in-aid.
- The categorical programs should be consolidated into a much smaller number.
- The model cities program should be continued as a means of asserting the interest the nation has in improving the quality of life in the city slums.
- The Model Cities Administration should provide technical assistance to the cities only at their request.
- To assure adequate support of the model cities program, the President should make it unmistakably clear to heads of urban agencies that he attaches importance to it. Agencies should be directed to "hold back" at least 25% of their non-formula grant funds.

July 17, 1969 - HUD/Model Cities survey on use of supplemental funds as they relate to categorical programs revealed a mixed reaction:

(1) CDA did not know of availability.

(2) CDA has not submitted an application.

(3) CDA did not accept some statutory requirement of the funding agency.

(4) Funding agency had no funds.

(5) Funding agency did not deliver funds by the time the CDA needs to begin project.

July 29, 1969 - Sidney L. Gardner, Director of the Center for Community Planning identified five major problems in the HEW response to Model Cities. He pointed out that the HEW structure and legislative authorities channel most of the funds to State agencies.

Early August, 1969 - The Chief Education Advisor and Leon Jones of the University of Massachusetts, designed an evaluation instrument for the participants attending COP Conference.

August 22, 1969 - James E. Allen, Jr., U.S. Commissioner of Education announced organizational changes designed to strengthen the leadership role of the U.S. Office of Education and to allow for more effective coordination of education activities within OE.

August 29, 1969 - Sidney L. Gardner, HEW/CCP informed Assistant Secretary Floyd H. Hyde, HUD/Model Cities, of the progress of the FY 70 funding reservations. He identified three categories of OE support for

Model Cities: (1) Federal-local programs, (2) Non-reserved priority programs, and (3) State plan programs.

November 14, 1969 - Floyd H. Hyde, Assistant Secretary for Model Cities stated that "For a third of a century some political leaders have argued that local and State government could not cope with out massive urban problems. This has led to an over-reliance on the Federal Government for solutions and an over-centralization of power in Washington. This Administration is determined to return the flow of power and money to local governments. Revenue sharing is a demonstration of our determination to strengthen State and local government. Model Cities can build a management capacity within our cities to effectively use shared revenues. But, the State must adapt new thinking, new ideas, and meaningful urban policies as full partners in this concept of shared responsibilities."[43]

November 22, 1969 - Robert H. Baida, Deputy Assistant Secretary for Model Cities stated that this Administration would insist that cities develop and maintain an effective mixture of city and institutional involvement (Schools) together with a strong and influential role for citizens.[44]

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[43]Press Release, HUD News, Nov. 14, 1969, p. 1.

[44]Press Release, HUD News, Nov. 22, 1969, p. 1.

December 3, 1969 - During the 46th Annual Congress of Cities, Assistant Secretary Hyde reported that the Model Cities program sought to place authority and responsibility squarely upon the shoulders of local government.[45]

December 5, 1969 - In his address at the meeting for the Model Cities Directors, Assistant Secretary Hyde stated that a new urban strategy was being developed which in time might indeed unshackle local government and which would also place a tremendous responsibility on State government.[46]

Budget History

Although the changes in relationships, attitudes, and institutions necessary to improve the quality of life for model neighborhood residents are non-monetary, much of this change necessarily depends upon a large increase developed plans to solve the social as well as the physical problems of urban decay. This increased flow should comefrom State and local public and private sources; from Model Cities supplemental funds; and from expansion or redirection of Federal categorical aid programs.

The Model Cities program was the first significant Federal experiment in the use of block grants. These are called supplemental grants and they can be used with great flexibility to meet local needs. Although Model Cities was originally conceived of as a smaller demonstration program, Congress substantially expanded the coverage so that about 60% of all cities of over 100,000 population are included in the 150 cities now in the program.

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[45]Press Release, HUD News, Dec. 3, 1969, p. 1.

[46]Press Release, HUD News, Dec. 5, 1969, p. 1.

The projected Federal resource requirements for this program are naturally large. Supplemental grants alone, on the present funding formula, will require up to $1 billion a year for five or six years. The expanded demand for other Federal categorical aid is likely to be at least double this figure.

The original Task Force report which led to the Model Cities program estimated a total Federal cost of $2.3 billion to block grants over a period of five years for a single round of 60 to 70 cities. In addition, about $5 billion in other Federal grant-in-aid funds, and $6.8 billion investment of local private and public funds were estimated.

The 1966 President's Budget requested authorization of the full $2.3 billion in supplemental grants and $12 million for planning grants. During the House Hearings, when the need for additional Federal funds from existing programs was aired, an additional $600 million was added to the appropriation bill as an earmarked appropriation for urban renewal activities in model neighborhoods (commonly called "urban renewal add-on").

As passed, the authority was limited to the funds necessary for the first two years of the program: $12 million in planning grants, $900 million in supplemental grants for FY 1968 and FY 1969, and $250 million for urban renewal add-on. An additional $12 million for planning grants for a second round on Model Cities was also included.

FY 1967 Budget. The first appropriation of $10.25 million for planning grants and $.75 million for administration costs was made in November 1966.

FY 1968 Budget. The FY 1968 budget requested appropriation of: $12 million for second round planning grants; the full $400 million of supplemental grant funds authorized for FY 1968; and the full $250 million or urban renewal add-on. However, although the second round planning funds were appropriated, only $200 million for supplemental grants and only $100 million of urban renewal add-on were appropriated because the Appropriations Committee felt that because of the late announcement of first round cities (November, 1967), the full amounts authorized could not be utilized in FY 1968.

FY 1969 Budget. In FY 1969, the Department requested and received an additional $350 million urban renewal add-on authorization. It sought appropriation of the $500 million authorized in supplemental grants and the full $500 million unappropriated urban renewal add-on funds. Congress appropriated $312.5 million for each category, or $625 million specifically for the Model Cities program. About $5 million was awarded for evaluation and technical assistance contracts in FY 1969. Among these contracts was a technical assistance contract to the New Jersey State Department of Education for $200,000.

FY 1970 Budget. HUD requested $13 million in planning grants for a third round of cities; $1.3 billion in supplemental grant funds

(FY 1970 was the first year in which both first and second round cities would be in the supplemental grants pipeline). In addition, HUD requested an appropriation in the FY 1970 process of $1 billion for use in FY 1971. This advance appropriation is sought to assure cities that the Federal Government will meet its funding commitments, and to give these cities financial targets against which to plan. Keep in mind that these request were being made at a time when the Nixon Administration was asking for budget restraints. Early in the Administration, Presidential advisors Arthur F. Burns and Martin Anderson were especially concerned about the budgetary implications in the program. Administration spokesmen say that Burns, for example, described the program as "a Trojan horse" because of its spending thrust.[47]

At that same time, a direct request had been made to the Director of the Bureau of the Budget to consider procedures for identifying, and in some manner earmarking up to $1 billion dollars in the FY 1970 Budget.

This amount would be appropriated for programs of other Federal agencies for use in Model Cities. If the request had been satisfied, it certainly would have strengthened the ability of cities to engage in orderly and rational comprehensive planning. About $11.5 million was awarded for evaluation and technical assistance contracts. These

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[47]Lilley, op. cit., p. 1476.

contracts are viewed as critical to the long-range success of the program.

Model Cities technical assistance cannot be provided by Federal staff in all cases. Too many different areas of knowledge are required in the course of planning and implementing a comprehensive physical and human development program. Specialized technical assistance is expected to be provided through contracts with universities and non-profit public service organizations.

About $6 million was used in FY 1970 to administer the program as compared to $4.5 million in FY 1969. These figures include the routine costs of salaries, travel, office space, equipment and supplies, and cover both MCA Central Office staff and HUD Regional Model Cities staff.[48]

Table 16 provides a summary of the funding history of Model Cities by indicating levels of funding authority, appropriations and allocations for Model Cities for fiscal year 1968-1971.

TABLE 16

FUNDING HISTORY

	Funding Authority	Appropriation	Allocations
1968	$400	$200	$ 2.6
1969	500	312.5	407.3
1970	1,000	575	545
1971	600	575	707.6

SOURCE: HUD

[48]Transition Briefing Paper, HUD/Model Cities (Washington, D.C.: Dec. 1968, pp. 10-12.

The Model Cities Process

Floyd H. Hyde, Assistant Secretary, HUD/Model Cities during one of his early Executive Staff meetings stated that Model Cities should be viewed as a "process" rather than a "program". This section will review the three major components that make up the Model Cities Process: (1) Planning, (2) Review, and (3) Interagency Relationships.

Planning

Within the Model Cities Program the cities are expected to develop their city comprehensive plans through a planning process.[49] The planning process specified has two distinguishing characteristics. First, it is a process of logic applied to analyzing problems and making decisions for action. It stresses a logical or rational progression: from analysis of problems (what causes them and maintains them) to action goals which, when met, will solve the problem; from goals to program approaches (the several basic sets of ways in which goals can be achieved); and from program approaches to objectives (measurements of progress over time). It is only at the conclusion of this process of logical thought and decision-making that specific projects--ways of reaching these objectives--are expected to be developed.

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[49]The Model Cities planning process has evolved from five key planning documents (CDA Letter 1, "Model Cities Planning Requirement," CDA Letter 2, "Administrative Policies and Procedures," CDA Letter 3, "Citizen Participation," CDA Letter 4, "Comprehensive Program Submission Requirements," and TAB 2 "Measures of Living Quality in Model Neighborhoods"). Appendix L provides a comprehensive subject and numerical list of all related issuances released on Model Cities as of June 30, 1970.

The second characteristic of the planning process is that it involves the residents of the model neighborhood in these steps together with other local and State interests whose participation is necessary to effective action. Examples of those involved are: Mayors, LEA's, professional private groups, business leaders, voluntary agencies, and State agencies (including colleges and universities). Through this process, a single local agency, created by and responsible to the local government, is able to look at and analyze a number of different functional problem areas.

Educationally, the Model Cities process operates in an intergrated fashion. The education component represents a subsystem that is a major part of the total system. As in each of the other subsystems, education is designed to carry out a specific purpose, the attainment of which is necessary in order to achieve the overall purpose of the system--to improve the quality of urban life. In a sense, all of the components or subsystems have been selected on the basis of their abilities to carry out specific processes. In the Model Cities process, education is integrated with and influenced by the other subsystems: health, housing, welfare, employment, and transportation. The effectiveness of the Model Cities process depends on how well these subsystems are integrated and how well they interfunction.

The requirement of comprehensive planning has often created off-setting difficulties. Although many cities have developed substantial capability in the area of theoretical planning, few cities

have had the capacity, experience, insight, and ingenuity to do an excellent job on their first try at comprehensive planning of programs for action.

Review

After the local projects have been developed in accordance with the planning process described above, a review process follows. Figure 6 is used to identify essential interagency relationships in regard to the major variables involved in the review process. Particular attention is called to the vital "decision line". A simplified model of the review process is also shown in Figure 7.

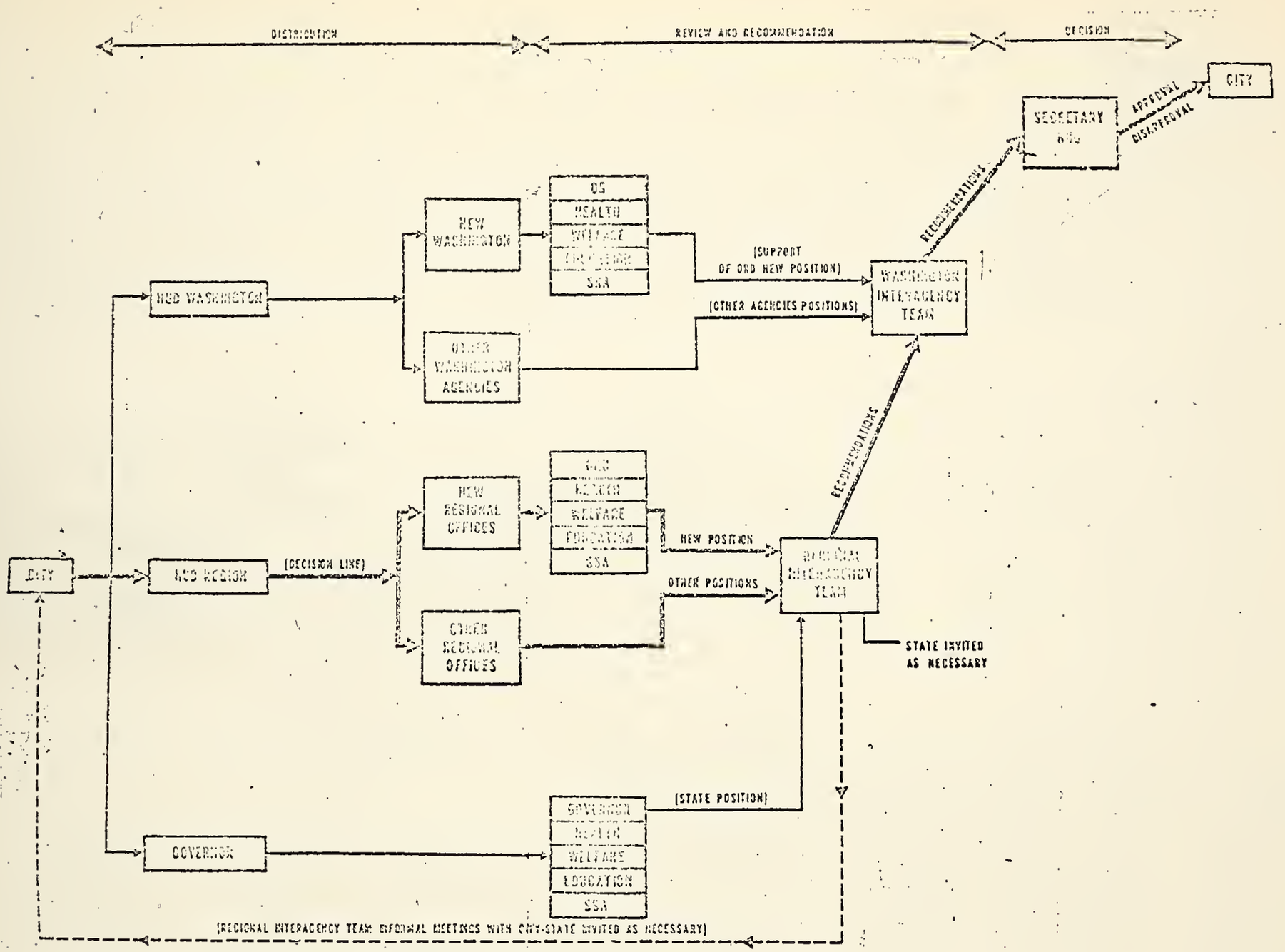

Figure 6. Model Cities Review Process

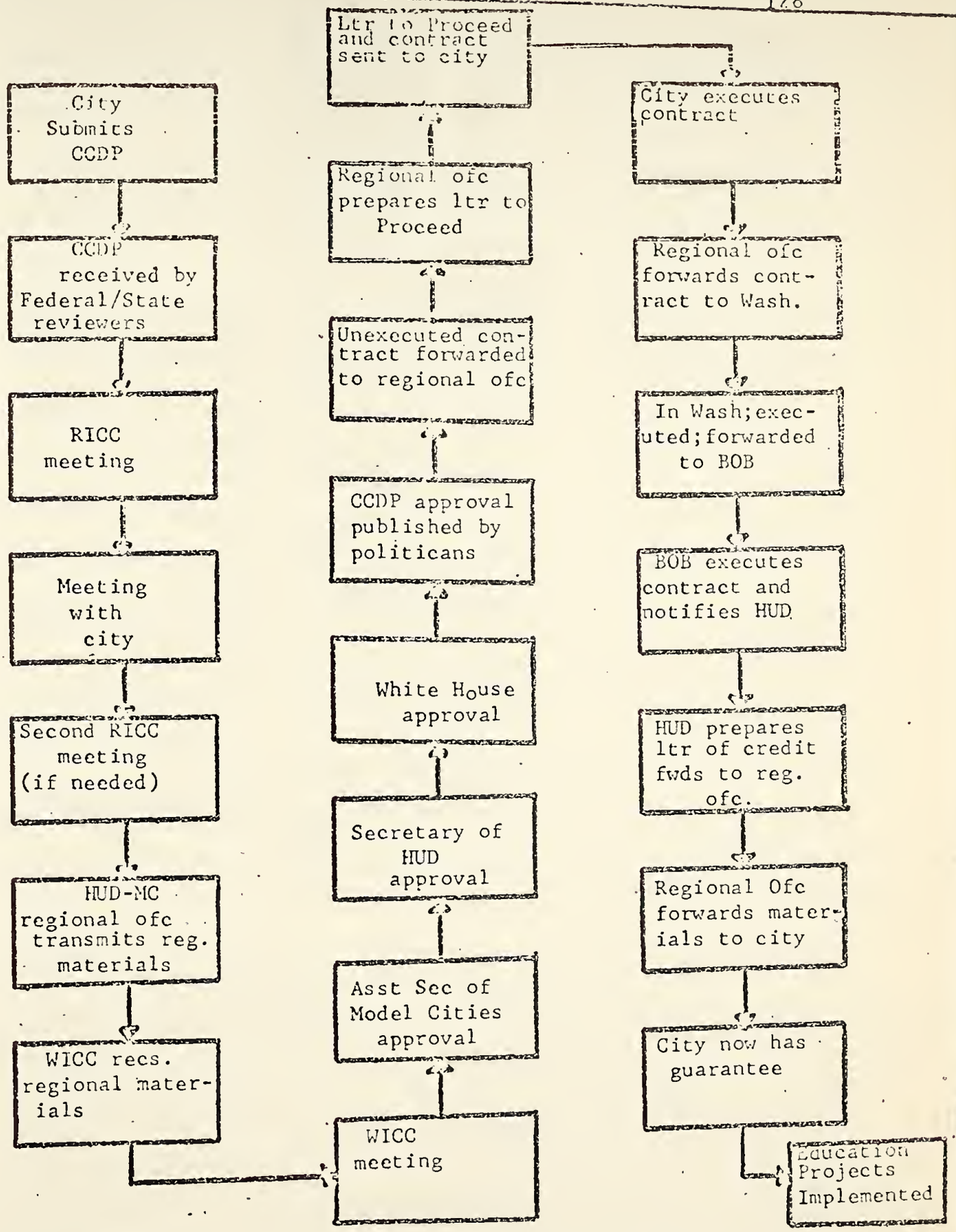

Figure 7. A Simplified Model of the Review Process.

Interagency Relationships

Since the Model Cities Program includes grant-in-aid or categorical programs which are the primary responsibility of a number of different Federal agencies, it must be administered at the Federal level as an interagency effort. Although the enabling legislation placed central administrative responsibility and final plan approval within HUD, policy development was seen from the beginning as an interagency task.

The interagency character of the program is reflected in the fact that each of the major participating agencies has been asked to perform the following functions: (1) Earmarking, (2) Technical Assistance, (3) Local Coordination and (4) Application Handling.

Each of the cooperating agencies has been asked to identify or earmark funds in those programs which are relevant to Model Cities needs. These earmarked funds are then specifically reserved for the use of Model Cities. In some cases, funding priorities have been applied instead of earmarking.

Each agency was asked to present a technical assistance plan that identifies personnel and their availability for assisting CDAs in developing comprehensive programs and initiating specific projects and activities.

Each of the agencies having programs relevant to Model Cities was asked to develop a local coordination plan that would provide for local government review of programs operating in, or proposed to operate in model neighborhoods. Agreements have been negotiated with each of the agencies concerned to assure that such review can occur.

The original aim of the application handling provision was to develop a simplified procedure that would insure timely delivery of Federal program

funds in response to Model Cities requirements. Each of the agencies that is cooperating in the program was asked to review the procedures for its relevant programs in order to provide for waivers of non-statutory program requirements where possible, and to place priority on the handling of all applications which grew out of the Model Cities planning process. Model Cities has had only limited success in this effort to date and most of the cities still have to file separate applications for each separate Federal categorical grant.

The Office of Program Development is responsible for assisting the Assistant Secretary for Model Cities in all aspects of interagency relations, including the mobilization and coordination of Federal financial and technical assistance. It has not been possible to assess fully the achievement of the items on this agenda since a significant number of comprehensive programs had not as yet been submitted and reviewed. Nevertheless, it is apparent that difficulties have appeared in achieving a substantial U.S. Office of Education earmarking, and significant technical assistance involvement at both the Federal and State levels.

The next section on the Funding Process Model discusses the relationships and actors needed in order to achieve the earmarking, technical assistance, local coordination and application handling provisions necessary for meaningful and comprehensive urban education programming.

Funding Process Model

This section is an attempt to untangle the complex web of interrelationships and specifically identify the major variables which affect the funding process for education components within Model Cities. This has been accomplished by assembling all of the external and internal variables that influence the actual operation of the education component into a graphic representation. The different levels in the actual Funding Process Model will be developed separately and all of the separate levels will then be assembled at the end of this section.

In Figure 8, we note that six sets of dominant variables surface at this "high policy-making" level. They are(1) the Office of the President and the Urban Affairs Council, (2) the Congressional Committee for Housing and Banking, (3) the Congressional Committee for Labor and Education, (4) the U.S. Department of Housing and Urban Development/Model Cities, (5) the U.S. Department of Health, Education, and Welfare, and (6) the National Professional Associations.

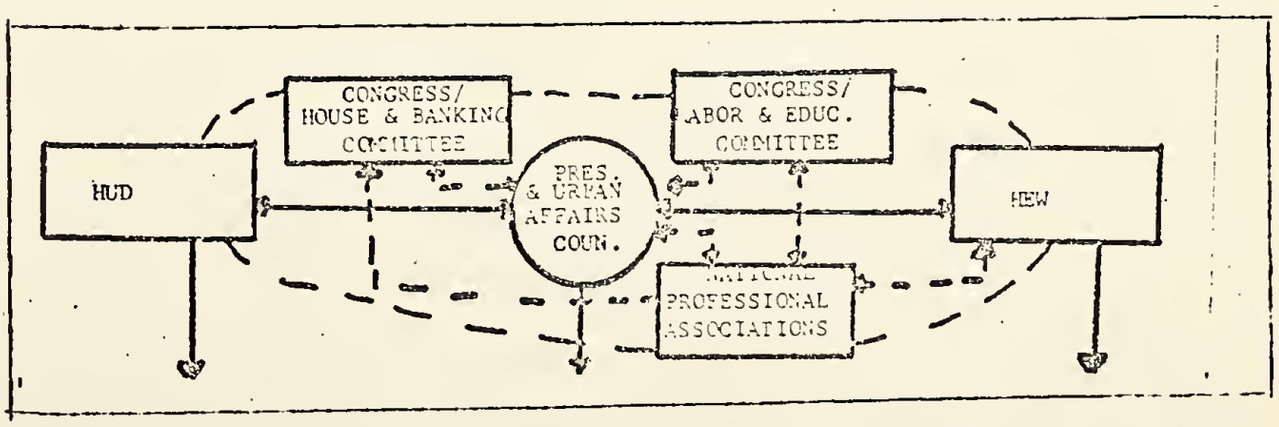

Figure 8. Six Major Variables at the "High Policy-making Level

The following interrelationships were identified:

1. The U.S. President working through the Urban Affairs Council sits at the center of the sphere. This structure has direct working relationships (DWRs) or control over all Executive Branches of government. At the same time, it has a cooperative relationship (CR) with the various committees in Congress and the National Professional Associations.
2. The Congressional Committee for Housing and Banking influences the funding authorization for the U.S. Department of Housing and Urban Development. Though this relationship seems cooperative, tremendous pressures can be exerted by this committee on programs administered by HUD.
3. The same type of relationship exists between the Congressional Committee for Labor and Education, and the U.S. Department of Health, Education and Welfare.
4. The National Professional Associations support lobby groups in Washington which maintain cooperative relationships (CR s) with all five of the other major variables affecting education. Though cooperative, these relationships are influential.
5. Both HUD and HEW have direct working relationships (DWRs) with each of the programs administered by them.

Still at the Washington level and immediately below the "high policy making" level, we find the "formal-interagency group" for Model Cities. Figure 9 identifies three major variables at this level. They are (1) HUD/Model Cities, (2) the Washington Interagency Coordinating (WICC), and (3) HEW/CCP-OE.

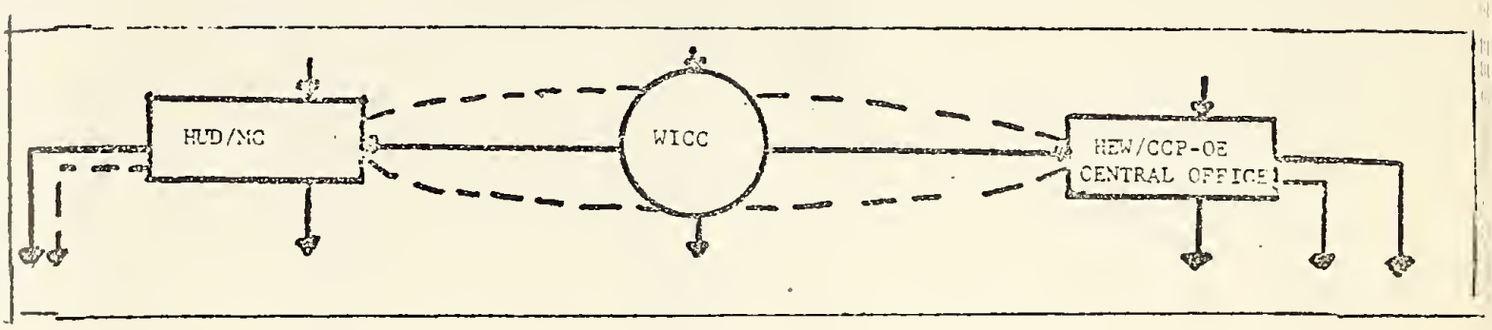

Figure 9. Three major variables in the formal - interagency group at the Washington level.

The interrelationships are apparent, and a coordinated Federal Response to Model Cities should be reflected in this working group. However, experience has shown these CRs to be ineffective in its coordination of the Federal response to Model Cities. Final decisions relating to funding comprehensive urban education programs are often made elsewhere, and, these "major variables" usually respond to situations "after-the-fact." For example, the Center for Community Planning (CCP), the coordinating mechanism for HEW has no legal authority over the programs administered by the U.S. Office of Education. Figure 10 shows more clearly the "real" major variables in control of the Federal categorical grant programs which influence the education

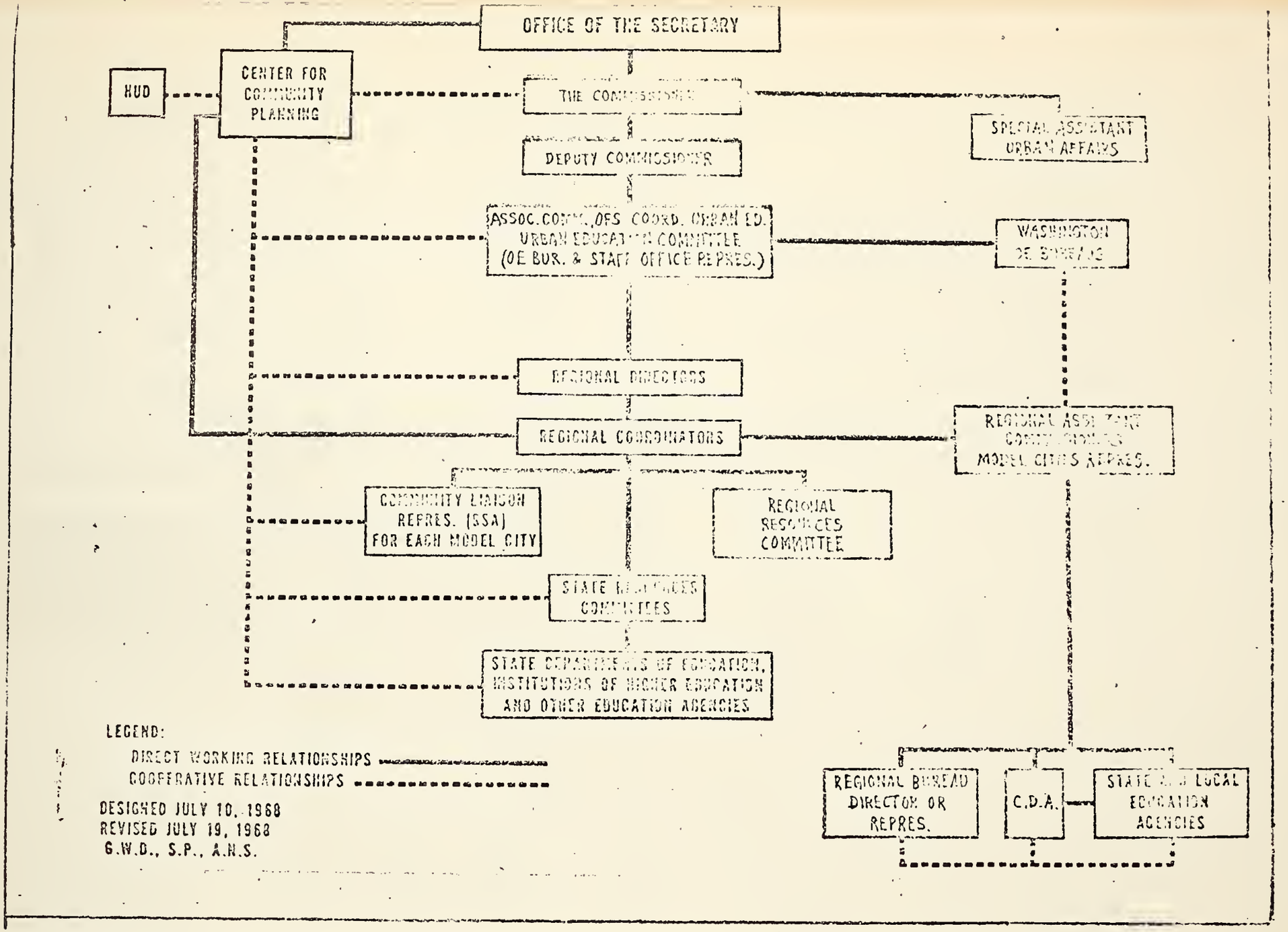

Figure 10. Office of Education Participation in the Model Cities Programs

component of Model Cities. In figure 9, however, it is significant to note that Washington, USOE has three DWRs leading downward, whereas HUD/Model Cities has two and the WICC has only one. HUD/Model Cities also has only one cooperative relationship leading out.

Figure 11 reveals that the Federal Regional level appears to be similar to the mechanism at the Washington level. For example, there are also three major variables at this level: (1) HUD/Regional, (2) the Regional Interagency Coordinating Committee (RICC) and (3) HEW/OE Regional.

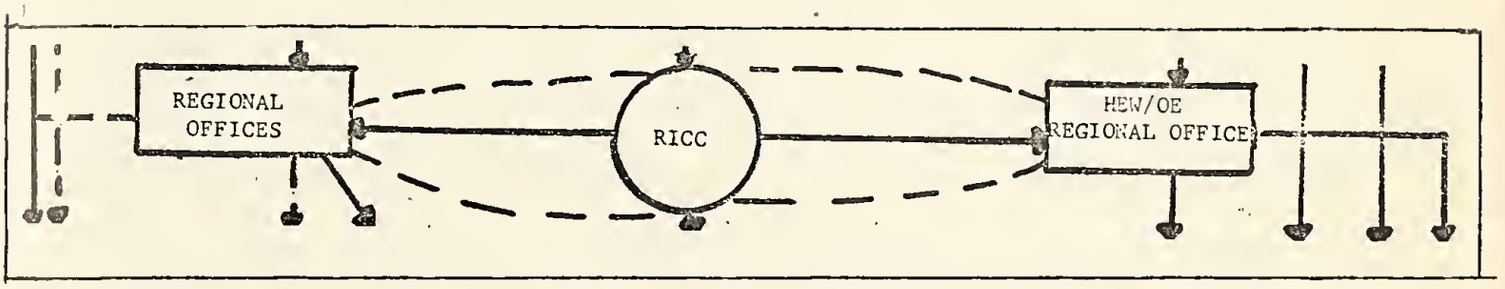

Figure 11. Three major variables at the Federal Regional level.

However, a closer analysis will reveal some significant differences. It should be noted that (1) HUD/Model Cities Regional has only one DWR leading in and out, with two CRs leading out, one of which joins a DWP that is by passing (BP), and (2) HEW/OE Regional has one DWR coming in, two leading out and two HEW/OE DWR's entirely by passing (BP) it. The RICC has one DWR leading in and out. In summary, at this level we have a total of three DWRs coming in and four leading out; no CRs coming in and two leading out; and three BPs. One CR is also by passing this level.

Figure 12 reveals that there are four major variables at the State level. They are: (1) State agencies, (2) the Governor, (3) State Education Agencies, and (4) universities.

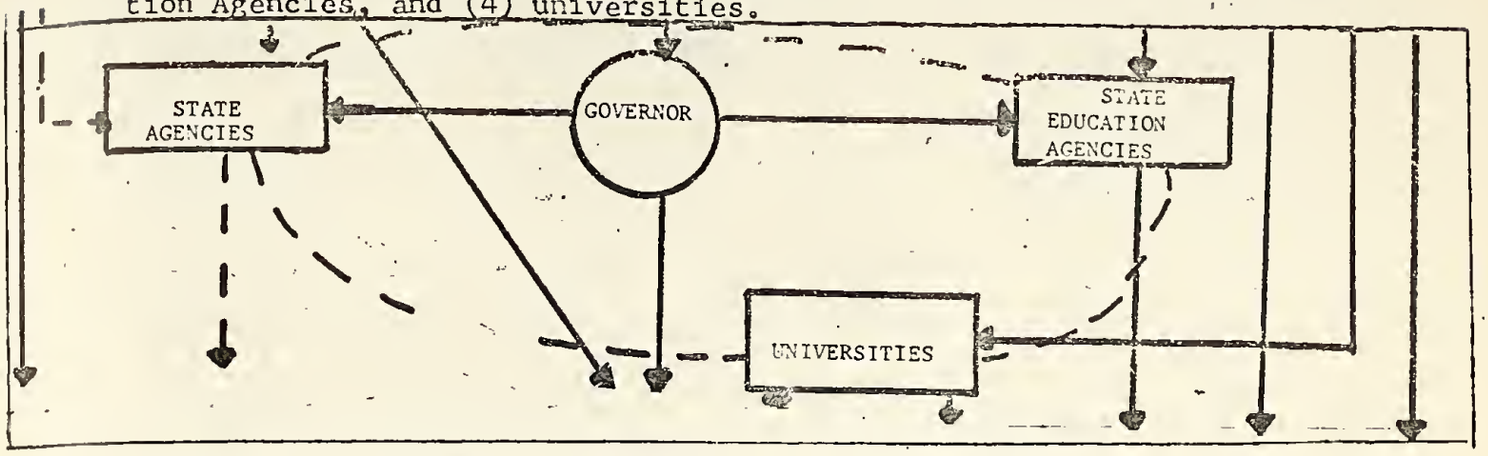

Figure 12. Four major variables at the State level.

We can recall that Figure 11 had a total of four DWR's leading out and a total of three by-passes (BPs). It would appear that the next level would be the critical level or pivotal point. However, as we closely examine Figure 13, we note that neither of the two HUD/Model Cities DWRs lead into State Agencies; but, instead there are two BPs. What happened? Where did they go? We also note that the Governor did receive one DWR, whereas the State Education Agencies received only one of the two DWRs from HEW/OE Regional. Not only that, but now the two BPs are still noted. What happened to the other DWR? A further examination of figure 12 reveals that the fourth major variable (universities) at this level could have affected the education component of Model Cities.

Inquiries at this level revealed that in some States the various structures have too often been at odds. In some States there are DWRs between the Governor's Office and SEAs and in others there are not. As a general rule, there is a DWR between the State colleges

and universities, and the Office of the Governor. It is also generally true that the SEA administers all elementary and secondary categorical grants. The administrative gap and mutual independence between our elementary and secondary education programs on one hand, and higher education programs on the other, tend to inhibit meaningful State coordination in response to the local educational needs within any given Model Cities planning process.

The undesirable social, economic, and political conditions that have produced our urban crises will not conveniently and tranquilly wait for State Departments to become gradually and sufficiently strengthened and adequately sensitized in order to cope with urban problems. Nor will local crises wait for Governors and Chief State School Officers to agree that coordination, cooperation or even reorganization at the State level are critical to the solution of problems related to poverty and/or comprehensive planning. For too long, the two-headed machinery has produced irregular and even diminishing funding distribution patterns and services to areas exhibiting the greatest needs. In summary, Figure 13 revealed a total of two CRs leading in and one out; three DWR's leading in and four leading out; and four DWR by-passes.

Figure 13 reveals that there are seven major variables affecting the education component of Model Cities at the local level. They are (1) the Mayor, (2) the City Agencies, (3) the Private Sector, (4) the Local Education Agencies, (5) Model Neighborhood Residents, (6) the CDA, and (7) the "Education Task Force" for the Education Component. It should be stated that (7) may consist of a combination of any one or all of the other six variables. To say the least, the local level represents a complex web of inter and intra agency relationships. These multi-dimensional relationships are nearly indescribable.

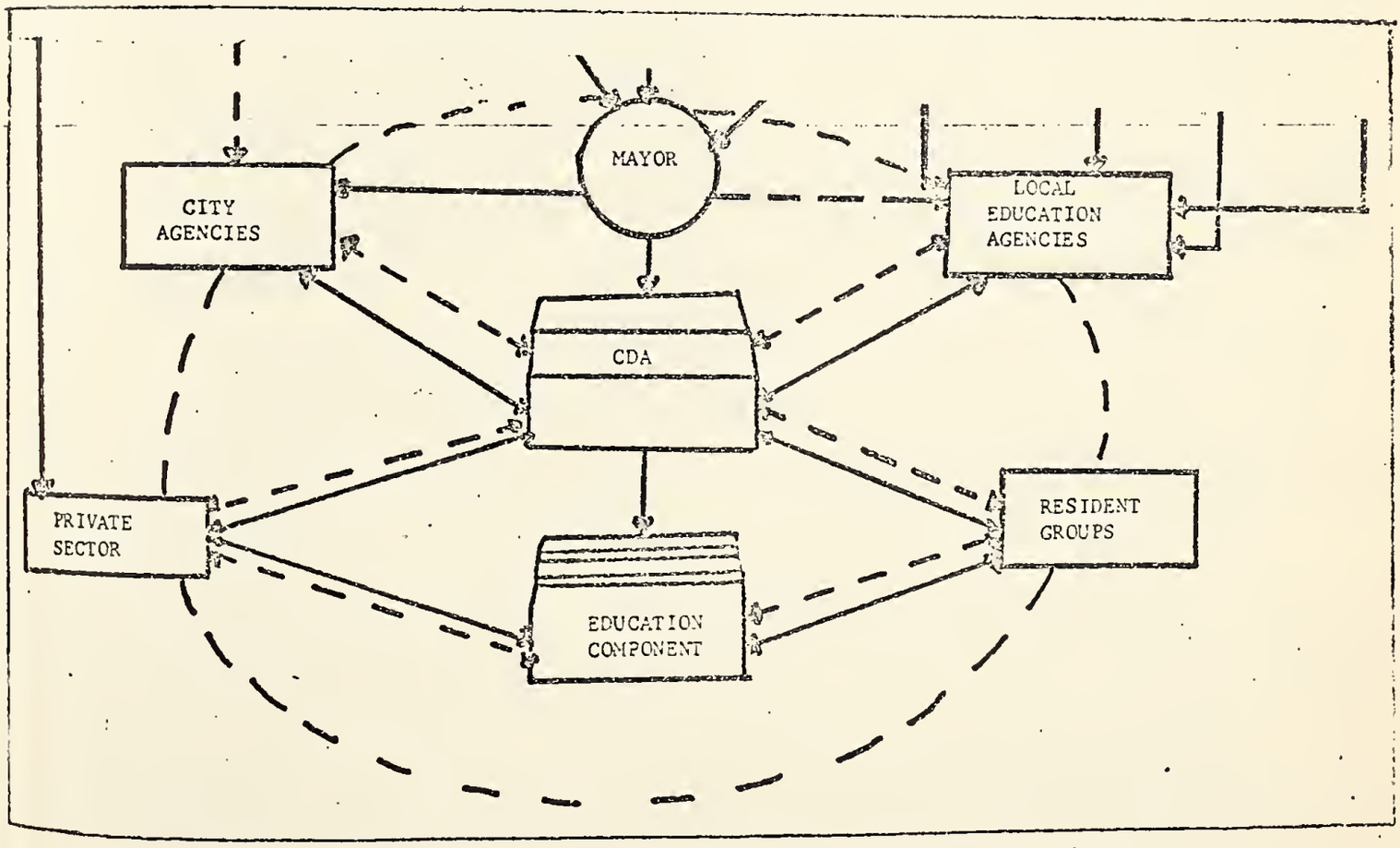

Figure 13. Seven major variables at the Local level.

There are DWRs as well as CRs between and among the major variables. The plight of the CDA is readily seen. In analyzing the various relationships we notice that there are a total of eight DWRs leading into this level. The LEAs received four DWRs all of which took different routes from HEW/OE at the Washington level. The Mayor received three DWRs, of which one originated at HUD/Model Cities. The Private Sector received the final DWR. The main point here is that the flexible supplemental funds enter the city through the Mayor, the CDA and an Education Task Force before having an impact on the education component. Whereas categorical funds, with all of their constraints, enter the city through the Local Education Agency and then usually through CRs with the Mayor and/or the CDA and the Education Task Force before finally having impact on the education component. In summation, trying to achieve an effective mix of categorical and supplemental funds and, at the same time, coordinate and concentrate activities associated with these major variables with their multitudes of BPs, DWRs and CRs represent an almost impossible task for CDAs. Figure 14 shows a composite graphic presentation of the major variables affecting the education component of Model Cities. Thus, we can easily see why comprehensive urban education planning is not being accomplished.

Summary

This chapter has examined in some detail those internal variables within the Model Cities Program that significantly have

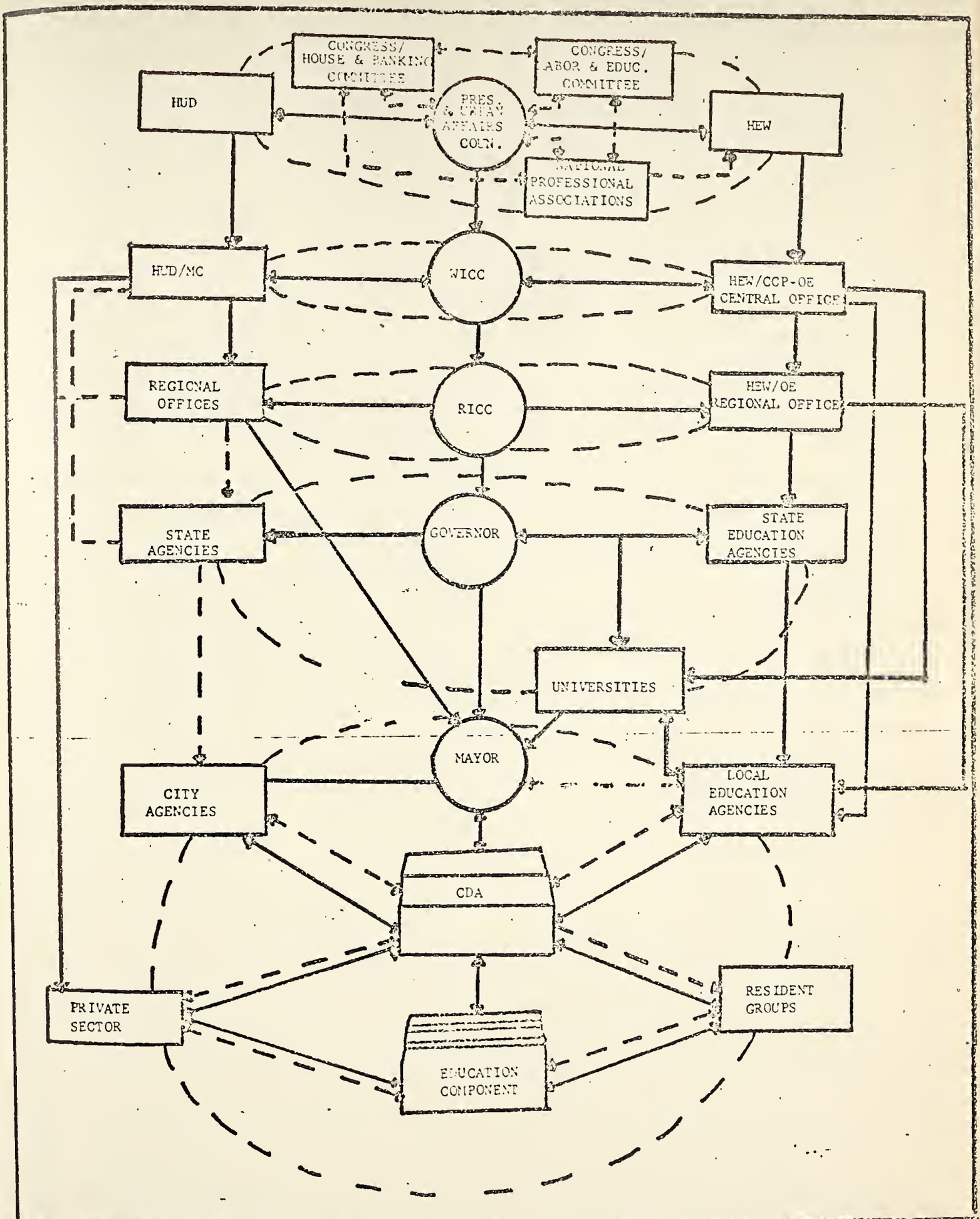

Figure 14. The Funding Process Model

influenced the development and function of the Model Cities Education Component. After a brief description of selected statutory provisions within the Demonstration Cities and Metropolitan Development Act of 1966, the legislative history of the Program was reviewed.

A description of the organizational structure within the Federal level of Model Cities was then followed by an extensive chronology of activities and events associated with program developments within Model Cities from the fall of 1966 through the summer of 1970. An analysis was conducted of the budget history of the Model Cities program and this was followed by a brief description of the three components of Model Cities Process: planning, review and interagency relations. Finally, this section was concluded with a graphic representation of all of the external and internal variables that influence the actual operation of the Model Cities Education Component.

CHAPTER IV

SUMMARY AND RECOMMENDATIONS

Introduction

The Model Cities Program was conceived as a way of dealing with the grave problems existing in urban areas and the disappointing results of the some 400 Federal grant-in-aid programs. It promised the cities much greater freedom to use Federal funds in poor neighborhoods in the ways that local people thought best. Unfortunately, the execution of the Model Cities Program has fallen short of its promise.

Many reasons and excuses can be given for the failure of the Model Cities Program to achieve its intended goals. The present study was conducted for the purpose of discovering, in as objective a manner as possible, the major variables affecting the education component of Model Cities. The study was exploratory in nature, utilizing such methods as interviews, observation of committee meetings, examination of government documents, journals, reports, memoranda, and other correspondence material in collecting the data.

The major objective of this study was to discover answers to the questions concerning (1) an explanation of the processes involved in reaching the conclusion as to the comprehensiveness of the urban educational programs in the Model Cities programs; (2) the identification of the major variables affecting the education component of Model Cities from the Fall of 1966, through the Summer of 1970; and (3) the identification of strategies that can be employed

at the federal level which would have the potential of mobilizing fiscal and human resources at the University, state and federal levels to achieve comprehensive urban education programs based on local needs of the Model neighborhoods.

The idea that became the model cities program originated in a task force on urban problems convened by President Johnson in 1965 in anticipation of the creation of the Department of Housing and Urban Development. Members of the task force--headed by Robert C. Wood of the Massachusetts Institute of Technology (who was to be appointed the first under secretary and later the secretary of HUD)--were concerned with the rising criticism of the urban renewal program. While urban renewal might remake the physical structure of a city slum, the critics observed, it did little to improve the lives of the slum's inhabitants. Indeed, it worked the other way--it added to the problems of the poor by forcing them out of their neighborhoods into other slums to make way for the "federal bulldozer". The task force therefore sought a means by which urban renewal and social programs could be brought together to meet both the needs of the slum residents and the objectives of the city planners--in other words, to recreate not just the physical environment but the social environment as well.[1]

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[1] James L. Sundquist, Making Federalism Work, (Washington, D.C.: The Brookings Institution, 1969), p. 13.

Summary of Findings

The investigation utilized a case study approach that focused on two major aspects of the problem. The origination of the problem came from the investigator's encounters with persons and publications related to the Model Cities program. From these encounters, it was found that by the Summer of 1970 the conclusion was reached, and stated, that "the plans submitted by the Model Neighborhoods did not reflect comprehensive urban education programs utilizing the most effective mix of categorical grants and supplemental funds focusing on local needs." This conclusion generated two questions, namely: (1) what were the procedures in reaching such a conclusion, and (2) what were the major variables effecting the education component of Model Cities which could have caused a state of affairs represented in this conclusion?

The initial task of the investigator was to determine an operational definition of a "comprehensive urban education" plan from which elements could be identified; from these elements, criteria would be developed against which model neighborhood plans would be judged. The second task was to locate the existing federal categorical grants which appear to apply to any of the elements which would be found in such a comprehensive urban education program.

It was found that there were two dimensions to the elements which constitute a comprehensive urban education program. These were (1) educational levels, and (2) major educational concerns. The five most common of the educational levels referred to in the data were:

(1) early childhood, (2) elementary and secondary, (3) vocational-technical education, (4) adult-basic and continuing education, and (5) higher education. The six most common educational concerns were: (1) organization and authority, (2) educational personnel development, (3) facilities, (4) curriculum, instruction and supportive services, (5) patterns of community involvement, and (6) educational alternatives.

Each of these educational concerns was operationally defined and an extensive list of the sub-elements within each one of those educational concerns was presented. Once the elements which must be included in a comprehensive urban education program had been indentified, the investigator then constructed a matrix. Within the matrix, the five educational levels constituted the horizontal axis while the six educational concerns constituted the vertical axis. The matrix thereby consisted of thirty cells, and these cells constituted the categories for classifying various aspects of proposed model neighborhood programs.

Based upon this matrix, for an urban education program to be comprehensive, the investigator concluded that it must deal with all thirty program aspects as represented by the thirty cells. In turn, for a model neighborhood plan to be comprehensive it must include from its total lists of projects, at least one project for each of the thirty categories.

The investigator than analyzed the 595 educational projects included in the 113 model neighborhood plans, for which supplemental funds were requested. He classified each of the projects according

to the 30 categories from his matrix and the number of projects focusing on each of the six educational concerns was then tallied and the number of cities which submitted at least one project for that educational concern was determined.

In general, the data analyzed indicated that the cities appeared not to be submitting comprehensive urban education plans. A heavy number of projects were focused in one element of educational concern, that of curriculum, instruction, and supportive services.

The investigator then used the same method to determine the utilization of supplemental funds according to educational level. Again, the data indicated that the cities appeared not to be submitting comprehensive urban education plans since a heavy number of projects were located at one educational level (elementary and secondary).

In addition to focusing upon the projects requesting supplemental funds, the investigator examined the number of categorical grants for which money was requested within each of the cells of the matrix. Since CDA Directors were instructed to request categorical grant aid for those projects for which such aid was available, their requests were recorded upon a submitted model neighborhood plan. It was determined that Categorical grant aid had not been requested by CDA Directors even where that aid was available; furthermore, it was discovered that a substantial amount of supplemental funds were being spent on projects for which categorical funds were available.

Chapter III focused upon those variables at the Federal level that have influenced Model Cities, and those variables within the

Model Cities Program that have influenced the education component. The growing Federal concern over education during the past several decades was illustrated by briefly reviewing a number of Presidential statements and by examining the level of general Federal expenditures for education during that period of time. It was found that Presidents have increasingly expressed their concern for Federal involvement in education and that their concern had also reflected in dramatic increases within the total amount of Federal funds expended for education during the past two decades. From a total of 3.6 billion dollars in 1950, the amount of Federal dollars expended for education has risen to 12 billion dollars in 1970. When expressed in percentage of total educational dollars, the Federal rate rose from slightly more than 3 per cent in 1950 to slightly less than 8 per cent in 1970.

In addition to the growing concern for general education, there has been a recent increase in Federal concern over the problems of urban education. This concern is reflected in the remarks of U.S. Commissioners of Education, in the types of programs passed by Congress, in the writing of a wide range of authors that have focused upon urban education and a number of recent federal urban education reports.

The Federal Government has also begun to focus specifically on the need for greater interagency cooperation within the federal programs focusing upon education. It was determined that there presently exists a pervasive lack of federal awareness of existing patterns of program allocations and this lack of available information makes the task of effectively allocating additional resources virtually impossible.

All of these emerging Federal concerns have exerted a direct or indirect influence on the emergence of the Model Cities Program. In particular, the recent emphasis on urban education and inter-agency program cooperation is dramatically reflected within the guidelines of the Model Cities program.

Within the Model Cities program itself, there are a number of internal variables that have significantly influenced the development and function of the Model Cities Education Component. A review of selected statutory provisions within the Model Cities bill and a chronological survey of the legislative history was conducted. This information highlighted some of the specific parameters within the Model Cities legislation, reviewed some of the forces which influenced those parameters, and pointed out the types of compromises which emerged in order that the legislation might survive.

In order to better understand the operation of the Model Cities agency, a brief description of the organizational structure within the Federal level was conducted and then followed by an extensive chronology of the activities and events associated with the development of the Model Cities program elements from the Fall of 1966 through the Summer of 1970. An analysis was conducted of the budget history of the Model Cities program and this was followed by a brief description of the three components of the Model Cities process: planning, review, and inter-agency relations. Finally, Chapter III concluded with a graphic presentation of the various external and internal variables that influenced the actual operation of the Model Cities education component.

Recommendations

This study was conducted for the purpose of discovering, in as objective a manner as possible, the major variables affecting the education component of Model Cities. Because of the exploratory nature of the study, the broad range of sources utilized in order to obtain the necessary information, and the newness and complexity of the Model Cities Program, the recommendations must be considered as tentative additional steps which may be helpful in successfully guiding Model Cities' future course of action in achieving its intended goal.

Major emphasis at the Federal level should be placed upon the establishment and strengthening of those agency linkages that will lead to more effective implementation of the following activities: (1) technical assistance to CDAs, (2) earmarking of additional funds for use within model neighborhoods, (3) development of local coordination plans for review of programs operating in model neighborhoods, and (4) the development of simplified application handling procedures.

Further investigation should be conducted into the validity and reliability of the operational definition of a "comprehensive urban education plan" utilized in this investigation. To the extent that this investigator's assumptions are verified by additional studies, this operational definition could become extremely useful in restructuring urban education planning activities throughout the nation.

Universities and colleges are potential Model Cities resources that appear to be significantly under-utilized. Up until this time, there has been only minimal university involvement in Model Cities and this has been spread over a limited number of predominantely white universities and colleges. It is recommended that efforts be made to significantly increase the utilization of university and college resources within the Model Cities Program. Examples of resources that might be available from universities are: (1) the collection and dissemination of information, (2) the design, implementation and evaluation of training programs at the federal, state and local levels, (3) assessment of local needs, (4) resource identification, (5) credentialing of program participants, (6) independent evaluation studies, (7) assistance in proposal development, and (8) dissertation research into Model City related topics.

One of the major difficulties in conducting this investigation was the difficulty in obtaining information related to the effectiveness of the education component within Model Cities. Utilizing this investigation as a part of a comprehensive information base, it is recommended that the HUD/Model Cities establish a systematic approach to the collection and dissemination of useable information designed to provide the necessary data to evaluate the effectiveness of its educational component.

At this point, a coordinated state response to the educational components of Model Cities ranges from minimal to none at all; yet, the state provides an ideal legal, geographic and political setting

for providing useful assistance to Model Cities. The U.S. Office of Education reported that approximately 90% of the U.S. Office of Education funds go through the state education agencies for fiscal and programmatic control purposes, and yet this investigation revealed that only 8 of the 44 state departments of education have attempted to play significant roles in assisting CDAs in the development of comprehensive urban education programs. It is recommended that efforts be made to effectively channel the extensive leverage that is available within State Departments of Education into the support of Model Cities Programs. Examples of the various types of support that might be provided by State Departments of Education are: (1) technical assistance in local planning and development of comprehensive urban programs, (2) state level coordination of earmarking efforts, and (3) the development and coordination of priority processing systems for educational proposals from model neighborhoods.

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Provides a thumbnail guide to more than 200 varied programs funded by HEW. Planned especially for local, state and federal officials and planners.

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This booklet provides a wide variety of instructional areas and pupil services. One-hundred and fifty outstanding Title I projects from across the nation, each has been classified and reported in brief.

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This pamphlet summarized the areas of the greatest education concern in the Model Cities Program and offered relevant recommendations. Some of the most influential national organizations in America endorsed Public Law 89-754 during this two-day conference.

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This handbook provides the private citizen as well as the professional educator with clear understandings of OE's objectives and knowledge of programs. The detailed functions and organization of OE are concisely presented. Regional Office contacts are conveniently listed as are summaries of the laws under which the Office of Education operates.

July 1, 1970

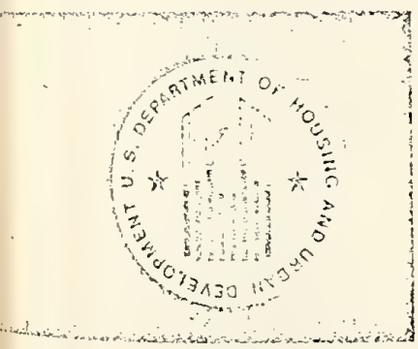
APPENDIX A

MEMO TO EDITORS:

Supplemental grant contracts of approximately $520,420,000 have been made to 113 of the 150 cities participating in the Model Cities program. Eleven of these cities have received $36,254,000 in second year action funding of the total amount.

A listing of all 150 cities in the program is attached for your information. The date and amount of funding for each city is also listed. These grants enable cities to implement the various phases of their five-year comprehensive plans for a concentrated, coordinated attack on the serious social, economic, and physical problems within the designated Model Cities area.

George Creel
Director of Public Affairs



HUD NEWS
U.S. DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT
WASHINGTON D.C. 20410

APPENDIX A CONTINUED

MODEL CITIES SUPPLEMENTAL GRANTS

CITY	AMOUNT OF CONTRACT	DATE ANNOUNCED
ALABAMA		
Huntsville	$ 1,969,000	5/29/69
(2nd year)	1,969,000	6/6/70
Tuskegee	1,766,000	6/29/70
ALASKA		
Juneau	938,000	6/17/70
ARIZONA		
Gila River Indian Community	916,000	6/24/70
Tucson	3,117,000	6/24/70
ARKANSAS		
Texarkana	1,899,000	6/30/69
(2nd year)	1,899,000	6/30/70
Little Rock	1,902,000	5/28/70
CALIFORNIA		
Compton	1,297,000	6/9/70
Fresno	2,818,000	10/3/69
Los Angeles County	8,181,000	6/30/70
Oakland	4,944,000	6/30/70
Richmond	1,820,000	6/19/69
San Diego	6,654,000	6/29/70
COLORADO		
Denver	5,766,000	6/26/69
Trinidad	1,225,000	6/26/69
CONNECTICUT		
Bridgeport	1,409,000	3/6/70
Hartford	2,284,000	4/13/70
DELAWARE		
Wilmington	1,706,000	6/24/70
DISTRICT OF COLUMBIA	9,625,000	1/14/70
FLORIDA		
Dade County	9,616,000	9/29/69
Tampa	4,086,000	6/26/69

-more-

APPENDIX A CONTINUED

CITY	AMOUNT OF CONTRACT	DATE ANNOUNCED
GEORGIA		
Alma - Bacon County	$ 1,237,000	6/24/70
Athens	2,601,000	3/11/70
Atlanta	7,175,000	5/10/69
(2nd year)	7,175,000	6/6/70
Gainesville	1,330,000	10/15/69
Savannah	2,603,000	6/26/70
HAWAII		
Honolulu	(2,263,000)	6/27/69
Increase of	(4,378,000)	12/18/69
Total	6,641,000	
IDAHO		
Boise	1,280,000	6/17/70
ILLINOIS		
Carbondale	1,075,000	5/28/70
Chicago	38,159,000	6/26/69
East St. Louis	2,083,000	6/30/69
Rock Island	1,346,000	6/10/70
INDIANA		
Gary	2,669,000	10/3/69
Indianapolis	6,243,000	6/24/70
IOWA		
Des Moines	2,065,000	10/13/69
KANSAS		
Kansas City	1,964,000	6/4/70
Wichita	3,955,000	9/24/69
KENTUCKY		
Bowling Green	551,000	12/31/69
Covington	1,326,000	6/29/70
Pikeville	(691,000)	10/15/69
Increase of	(59,000)	12/17/69
Total	750,000	
LOUISIANA		
New Orleans	9,249,000	6/29/70
MAINE		
Lewiston	2,010,000	4/17/70
Portland	1,826,000	6/11/69
(2nd year)	1,826,000	6/30/70

-more-

APPENDIX A CONTINUED

CITY	AMOUNT OF CONTRACT	DATE ANNOUNCED
MARYLAND		
Baltimore	$10,554,000	6/26/69
MASSACHUSETTS		
Boston	7,718,000	6/27/69
(2nd year)	7,718,000	6/24/70
Cambridge	1,523,000	6/26/69
Holyoke	1,168,000	6/15/70
Lowell	1,750,000	12/19/69
New Bedford	2,109,000	11/14/69
Springfield	2,091,000	6/9/70
Worcester	2,125,000	12/31/69
MICHIGAN		
Ann Arbor	1,069,000	6/24/70
Benton Harbor	1,340,000	6/10/70
Detroit	20,545,000	5/28/69
Genesee County (Flint)	3,574,000	10/15/69
Grand Rapids	2,223,000	6/24/70
Highland Park	1,724,000	6/11/69
Lansing	1,873,000	6/24/70
Saginaw	1,729,000	3/6/70
MINNESOTA		
Duluth	1,680,000	10/16/69
Minneapolis	4,603,000	4/1/70
MISSOURI		
Kansas City	8,706,000	9/11/69
St. Louis	(5,183,000)	6/30/69
Increase of	(4,302,000)	5/11/70
Total	9,485,000	
MONTANA		
Butte	1,656,000	6/19/69
(2nd year)	1,656,000	6/6/70
Helena	1,211,000	6/30/69
(2nd year)	1,211,000	6/6/70
NEW HAMPSHIRE		
Manchester	1,645,000	12/18/69
NEW JERSEY		
Hoboken	2,030,000	2/13/70
Newark	5,654,000	1/26/70
Plainfield	1,322,000	6/29/70
Trenton	1,768,000	10/3/69

-more-

APPENDIX A CONTINUED

CITY	AMOUNT OF CONTRACT	DATE ANNOUNCED
NEW MEXICO		
Albuquerque	$ 2,826,000	8/13/69
Santa Fe	1,466,000	6/10/70
NEW YORK		
Binghamton	1,280,000	6/29/70
Buffalo	5,360,000	5/28/70
Cohoes	1,845,000	2/20/70
New York City	65,000,000	6/11/69
Poughkeepsie	1,685,000	2/3/70
Rochester	2,985,000	6/24/70
NORTH CAROLINA		
Charlotte	3,168,000	5/29/69
High Point	1,770,000	5/28/70
Winston-Salem	1,895,000	10/3/69
NORTH DAKOTA		
Fargo	1,112,000	5/28/70
OHIO		
Akron	3,407,000	5/28/69
Columbus	5,906,000	10/3/69
Dayton	2,949,000	6/11/69
Martins Ferry	1,240,000	3/30/70
Toledo	4,410,000	6/26/69
OKLAHOMA		
Lawton	2,067,000	6/9/70
McAlester	1,831,000	12/17/69
Tulsa	3,553,000	6/27/69
OREGON		
Portland	1,263,000	6/30/69
PENNSYLVANIA		
Allegheny County	6,725,000	6/24/70
Erie	1,606,000	6/17/70
Lancaster	1,662,000	6/16/70
Philadelphia	(3,296,000)	6/30/69
Increase of	(5,677,000)	3/25/70
Increase of	(3,462,000)	6/20/70
Increase of	(12,854,000)	6/30/70
Total	25,289,000	
Pittsburgh	6,108,000	12/31/69
Reading	1,383,000	6/11/69
Wilkes-Barre	1,603,000	2/13/70

-more-

APPENDIX A CONTINUED

CITY	AMOUNT OF CONTRACT	DATE ANNOUNCED
PUERTO RICO		
San Juan	$ 7,114,000	9/11/69
RHODE ISLAND		
Pawtucket	1,632,000	4/13/70
Providence	2,205,000	6/11/69
SOUTH CAROLINA		
Rock Hill	2,106,000	5/12/70
TENNESSEE		
Cookeville	1,266,000	6/29/70
Smithville-DeKalb County	(1,435,000)	5/29/69
Increase of	(145,000)	12/18/69
Total	1,580,000	
TEXAS		
Eagle Pass	1,776,000	6/18/69
(2nd year)	1,776,000	6/30/70
Edinburg	1,796,000	3/30/70
Houston	13,383,000	6/24/70
San Antonio	9,500,000	6/18/69
Texarkana	(1,558,000)	6/30/69
Increase Of	(499,000)	8/4/69
Total	2,057,000	
Waco	2,642,000	5/10/69
(2nd year)	1,285,000	6/30/70
VERMONT		
Winooski	788,000	6/26/69
VIRGINIA		
Norfolk	4,524,000	8/13/69
(2nd year)	4,524,000	6/6/70
WASHINGTON		
Seattle	5,215,000	5/10/69
(2nd year)	5,215,000	6/6/70

APPENDIX B

A CHRONICLE OF THE DROPOUT PREVENTION PROJECT IN TEXARKANA, ARKANSAS

12/68 Tom McRae, CDA, engages Dr. Joel Hart, School of Social Work, University of Arkansas, to conduct a course designed to teach leadership skills to residents in the Model Cities neighborhood.

12/68 Dr. Hart called his colleague, Charles Blaschke (the innovative creator of the Texarkana project) at his family ranch in Texas where he was vacationing and suggested that he visit Texarkana.

12/68 CDA arranged for Blaschke to present his dropout prevention proposal to the school superintendent and school board to the school superintendent and school board before submission to USOE for Title VIII funds.

2/69 U.S. Office of Education informed Texarkana that its project was selected as one of 10 in the country to be funded. (Seven are in Model Cities.)

3/69 U.S. Office of Education sent Texarkana $20,000 to fully develop the proposal. The Institute of Politics and Planning (Washington, D.C.) got the contract for the job.

5/69 Blaschke and his colleagues presented U.S. Office of Education with a respectably-researched, inch-and-a-half thick proposal.

6/69 Blaschke sent Request for Proposals to about 113 likely bidders. Representatives of 42 companies attended a bidder's conference in Texarkana to hear details concerning the project and the community. Eventually, nine companies were willing to gamble in a performance contract. Dorsett Educational Systems, Incorporated was awarded the $270,000 contract.

6/69-9/69 CDA, LEA and Dorsett, Incorporated work out final details for implementation of program. U.S. Office of Ed cation approves final proposal. (Cost breakdown: Title VIII, ESEA, 90% and Model Cities, 10%.)

APPENDIX B Continued

10/15/69	Joe Watson, ninth grader, pulled up his chair before the Dorsett teaching machine to work math problems and officially became the first student involved in the project.
11/69-1/70	Progress testing revealed 1.50 gain in reading and a .99 increase in math in a total of 60 hours of instruction.
3/70	A progress post-test on March 2nd with a sample of 55 students indicated that these students were achieving on the average, about 2.2 grade levels in reading and 1.4 in math in a total of 120 hours of instructional time.
5/70	HUD/MC completes comprehensive Experience Reports on the innovative project.
5/70	OEO and White House lay claim to project's success according to BUSINESS WEEK, May 16th issue.

APPENDIX C

JUN 8 1970

Tom Israel

Oscar L. Mims DP

Experience Report - Texarkana, Arkansas

It should be noted that the response offered below regarding the Experience Report prepared by Sam Harris Associates, Ltd. is viewed from two perspectives. These points of view are (a) the quality of the critique itself and (b) the educational implications of the project being described.

In general, the critique was presented in a clear and logical format. The contractor revealed evidence of having a good grasp of local conditions, both in terms of needs assessment and resources, e.g., major causes for dropout problems and knowledge of economic consequences. The major weaknesses were found in the excessive length of the report and the redundancy in describing some of the data. In addition, the descriptions of the three ancillary projects appear to be after-thoughts and were non-integral parts of the basic project structure.

I. Texarkana, Arkansas: "Dropout Prevention Project" ($270,000)

By uniquely combining a USOE grant (Title VIII, ESEA) and supplemental funds from Model Cities, the local school district in Texarkana has contracted a private corporation to remove learning deficiencies of 150-400 potential dropouts on a guaranteed performance basis - the firm will be reimbursed according to how efficiently the child learns. This performance basis project contracted with a private corporation has gained national recognition because of significant increases in student achievement. More specifically, it is reported that after 60 hours of instruction, a sample of 55 youngsters tested in reading improved their levels an average of 2.2 grades. This

means a 14-year-old who was reading at sixth-grade level in November now reads above eighth-grade level. The sample also revealed that the students' math levels improved on an average of 1.4 grades after 60 hours of instruction.

Without a doubt, this is the most innovative and eagerly watched educational project in the country. Although it is surely too soon to predict whether this experimental project will prove to be a success in the long run, accountability is the coming sin qua non for education in the 1970s, and this project is riding the "high tide." The idea of guaranteed performance contracting is one of the most fashionable concepts in education.

To date, the Texarkana Project which is jointly funded under Title VIII of the Elementary and Secondary Act of 1965 (90%) and Model Cities (10%). This apparently successful project is programmatically sound with few apparent educational shortcomings. Simply stated, the performance contracting conditions are (a) the contractor will receive a base rate of $80 for 80 hours of instruction leading to a one grade level increase in either reading or math computed separately (payment ranges from $0 to $106.67). (b) the contractor will accomplish the task of training teachers so they would be able to use the system in their classrooms as an integral part of their instructional techniques, and (c) all students in the program are supposed to be two or more years behind grade norm in reading and math. In terms of short-comings, the project seems to have neglected the role of the supportive of pupil personnel services.

II. Some of the unique features include:

1. The emphasis on modern educational technology and individualized instruction;
2. The "Turnkey" provision;
3. An extremely reasonable cost to the school system for the operation and maintenance of this innovative program;
4. A private firm (Dorsett) is held accountable for student learning;
5. The enthusiastic attitudes of students, teachers, residents, and administrators about the program;

APPENDIX C Continued

9

6. The use of Model Neighborhood residents as para-professionals in the program;
7. The use of well-conceived incentives for students such as the green stamps and time-off; and
8. The multi-facet method used to select the students.

III. Some of the early results reveal that:

1. The seven (7) Rapid Learning Centers were fully operative;
2. The students, facilities and curriculum were effectively integrated;
3. The dropout rate among participants in the program has been almost non-existant (one out of 315) students);
4. The noticeable improvement in student attitude, behavior, and grooming;
5. The students were achieving on the average 2.2 grade level increases in reading and 1.4 in math after 60 hours of instruction;
6. Many of the fears among the teachers that the machines will eventually replace them have been dispelled; and
7. Citizens have begun to participate in other MC educational programs.

IV. Replication and Transferability

At this time final judgment would be premature. At the same time we should not lose sight of the fact that the Texarkana Program was designed to test out and reward innovation for the purpose of fostering effective change within the present system of schooling. The problems of education are complex and projects such as this should be viewed not as a simplistic solution to all educational problems but rather one of the many catalysts needed for educational change. Without adequate time for planning and perhaps a fuller understanding related to performance contracts, many school systems could suffer pain and disillusion. For example, cities should reflect upon the following questions before making a commitment to this course of action:

1. What is the relationship between the dropout rate and the lure of high-paying factory work?
2. How does the compulsory school age law relate to the dropout problem and meaningful employment?
3. What happens to the services to the disadvantaged when Federal funds are depleted?

APPENDIX C Continued

4. What effect will performance contracts have on merit pay for teachers and administrators?

It is clear that other school systems can only use the experience of Texarkana to assist them in designing customized programs with specific objectives to be achieved and establishing criteria for measuring accomplishments of the services designed to solve their particular problems.

cc:
MC Files 8226
Chron 8226
Newman 8134
Houstoun/RF 8128
Mims Chron 8134
McMahon 8110

DP:MIMS/scs 6/8/70
55561

APPENDIX D

NUMBER OF MODEL CITIES IN EACH REGION

REGION	REGIONAL OFFICE	NUMBER OF CITIES
I	BOSTON	20
II	NEW YORK	18
III	PHILADELPHIA	14
IV	ATLANTA	23
V	CHICAGO	27
VI	FORT WORTH	17
VII	KANSAS CITY	5
VIII	DENVER	7
IX	SAN FRANCISCO	14
X	SEATTLE	5
		N=150

APPENDIX E. CONTINUED

150 CITIES
participating in the

MODEL CITIES PROGRAM

U. S. Department of Housing and Urban Development

First Round Planning Grants
Spring 1968

Alabama
Huntsville

Arkansas
Texarkana

California
Fresno
Oakland
Richmond

Colorado
Denver
Trinidad

Connecticut
Bridgeport
Hartford
New Haven

District of Columbia

Florida
Dade County
Tampa

Georgia
Athens
Atlanta
Gainesville

Hawaii
Honolulu

Illinois
Chicago
East St. Louis

Indiana
Gary

Iowa
Des Moines

Kansas
Wichita

Kentucky
Bowling Green
Pikeville

Maine
Portland

Maryland
Baltimore

Massachusetts
Boston
Cambridge
Lowell
New Bedford
Springfield
Worcester

Michigan
Genesee County (Flint)
Highland Park
Saginaw
Detroit

Minnesota
Duluth
Minneapolis

Missouri
Kansas City
St. Louis

Montana
Butte
Helena

New Hampshire
Manchester

New Jersey
Hoboken
Newark
Trenton

New Mexico
Albuquerque

New York
Buffalo
Cohoes
New York City
Central and East Harlem
South Bronx
Central Brooklyn
Poughkeepsie
Rochester

North Carolina
Charlotte
Winston-Salem

Ohio
Columbus
Dayton
Toledo

Oklahoma
McAlester
Tulsa

Oregon
Portland

Pennsylvania
Philadelphia
Pittsburgh
Reading
Wilkes Barre

Puerto Rico
San Juan

Rhode Island
Providence

Tennessee
Nashville-Davidson County
Smithville-DeKalb County

Texas
Eagle Pass
San Antonio
Texarkana
Waco

Vermont
Winooski

Virginia
Norfolk

Washington
Seattle

APPENDIX E. CONTINUED

150 CITIES
participating in the

MODEL CITIES PROGRAM

Second Round Planning Grants
Fall 1968

Alabama
Tuskegee

Alaska
Juneau

Arizona
Gila River Indian Community
Tucson

Arkansas
Little Rock
North Little Rock

California
Berkeley
Compton
Los Angeles City
Los Angeles County
Pittsburg
San Diego
San Francisco
San Jose

Connecticut
New London
Waterbury

Delaware
Wilmington

Georgia
Alma
Savannah

Idaho
Boise

Illinois
Carbondale
Rock Island

Indiana
Indianapolis
South Bend

Kansas
Kansas City

Kentucky
Covington
Danville

Louisiana
New Orleans

Maine
Lewiston

Maryland
Prince Georges County

Massachusetts
Fall River
Holyoke
Lynn

Michigan
Ann Arbor
Benton Harbor
Grand Rapids
Lansing

Minnesota
St. Paul

New Jersey
Atlantic City
East Orange
Jersey City
Paterson
Perth Amboy
Plainfield

New Mexico
Santa Fe

New York
Binghamton
Mt. Vernon
Syracuse

North Carolina
Asheville
High Point

North Dakota
Fargo

Ohio
Akron
Cincinnati
Cleveland
Martins Ferry
Youngstown

Oklahoma
Lawton

Pennsylvania
Allegheny County
Bradford
Erie
Lancaster

Rhode Island
Pawtucket

South Carolina
Rock Hill
Spartanburg

Tennessee
Chattanooga
Cookeville

Texas
Austin
Edinburg
Houston
Laredo

Utah
Salt Lake County

Virginia
Richmond

Washington
Tacoma

Wisconsin
Milwaukee

Wyoming
Cheyenne

APPENDIX F

NUMBER OF MODEL CITIES IN EACH STATE

Region	Cities		Total
I (Boston)	Conn. - 5	N. H. - 1	20
	Maine - 2	R. I. - 2	
	Mass. - 9	Vermont - 1	
II (New York City)	New York - 8		18
	New Jersey - 9		
	Puerto Rico - 1		
III (Philadelphia)	Dela. - 1	Pa. - 8	14
	D. C. - 1	Va. - 2	
	Md. - 2	W. Va. - 0	
IV (Atlanta)	Ala. - 2	Miss. - 0	23
	Fla. - 2	N. C. - 4	
	Ga. - 5	S. C. - 2	
	Kentucky-4	Tenn. - 4	
V (Chicago)	Ill. - 4	Mich. - 8	27
	Ind. - 3	Ohio - 8	
	Minn. - 3	Wisc. - 1	
VI (Dallas - Ft. Worth)	Ark. - 3	Okla. - 3	17
	La. - 1	Texas - 8	
	N.M. - 2		
VII (Kansas City)	Iowa - 1	Mo. - 2	5
	Kansas - 2	Nebraska - 0	
VIII (Denver)	Colo. - 2	S. D. - 0	7
	Mont. - 2	Utah - 1	
	N. D. - 1	Wyoming - 1	
IX (San Francisco)	Arizona - 2	Hawaii - 1	14
	Calif. -11	Nevada - 0	
X (Seattle)	Alaska - 1	Oregon - 1	5
	Idaho - 1	Wash. - 2	
			N=150

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	D. C. - 1	Va. - 2	
	Md. - 2	W. Va. - 0	
IV (Atlanta)	Ala. - 2	Miss. - 0	23
	Fla. - 2	N. C. - 4	
	Ga. - 5	S. C. - 2	
	Kentucky-4	Tenn. - 4	
V (Chicago)	Ill. - 4	Mich. - 8	27
	Ind. - 3	Ohio - 8	
	Minn. - 3	Wisc. - 1	
VI (Dallas - Ft. Worth)	Ark. - 3	Okla. - 3	17
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	N.M. - 2		
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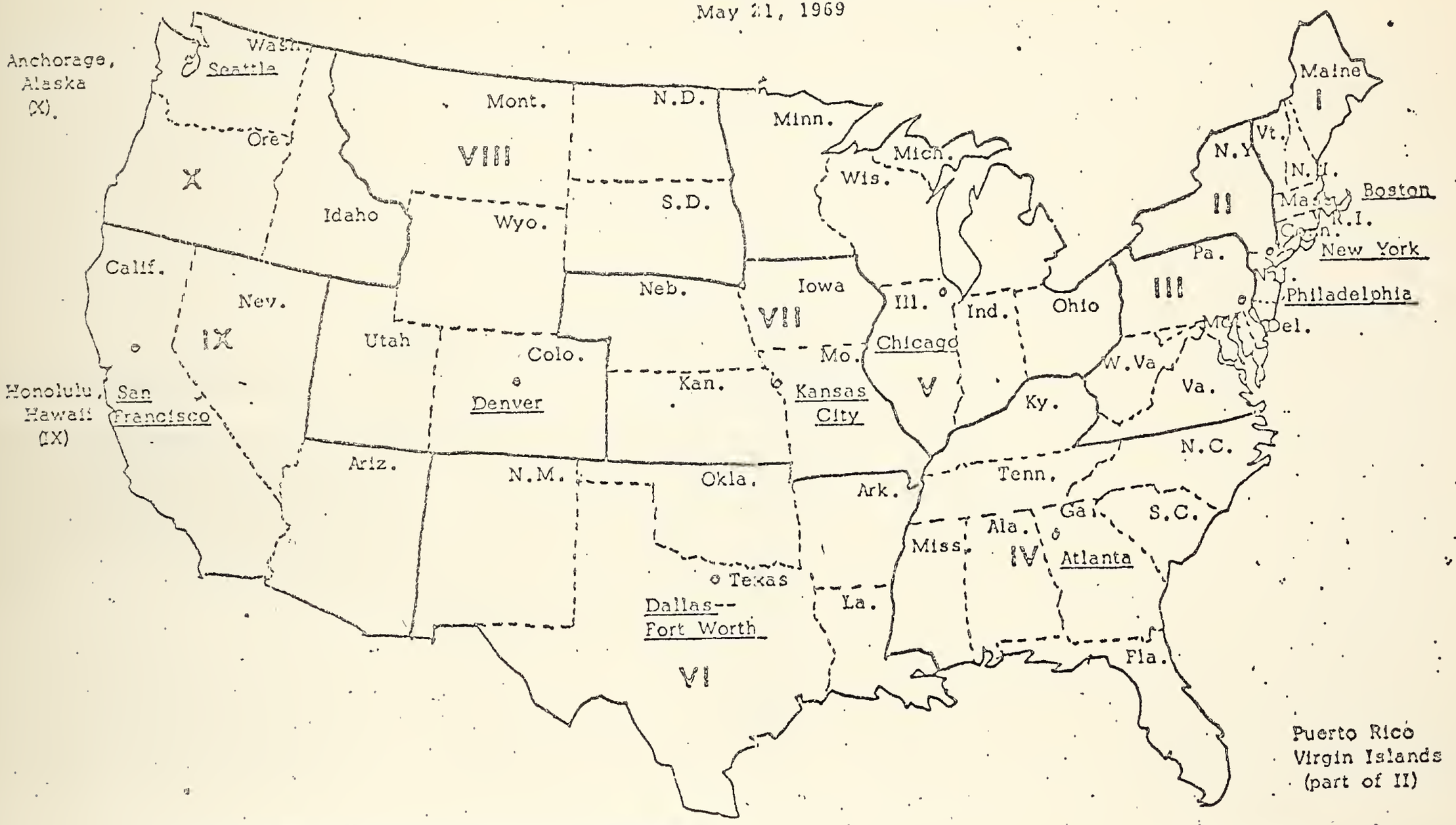
	Mont. - 2	Utah - 1	
	N. D. - 1	Wyoming - 1	
IX (San Francisco)	Arizona - 2	Hawaii - 1	14
	Calif. -11	Nevada - 0	
X (Seattle)	Alaska - 1	Oregon - 1	5
	Idaho - 1	Wash. - 2	
			N=150

APPENDIX G

NEW REGIONAL BOUNDARIES
TEN REGIONS (by state)
May 21, 1969



MAP OF PROPOSED HUD REGIONAL BOUNDARIES
(To be fully operational by September 1970)

HUD-Wash., D. C.

APPENDIX H

THE MODEL CITIES PROJECT

OF THE

NEW JERSEY STATE DEPARTMENT OF EDUCATION:

A CASE STUDY

by

Dr. J. Gerald Fitzgibbon

APPENDEX H Continued

Acknowledgments

I would like to thank the Model Cities Project staff who assisted me in preparing this case study. Brian Baxter, in his capacity as Field Staff Supervisor, contributed substantially to Part II: Design and Rationale; Gene Paslov drew on his experience as Education Planning Specialist to write the Midtown Case Study; Mrs. Anne T. Henderson, Education Planner, wrote Part IV: Analysis of State Planning which is based upon her exhaustive research in this area; Marianne Ramstetter, Dissemination Specialist, edited the Case Study.

Part I: BACKGROUND AND INTRODUCTION

In September, 1968 the Department of Education became involved in the Model Cities Program out of a recognition of its long-term potential for educational change in depressed urban areas of New Jersey.

Model Cities is an omnibus urban program whose broad purpose is to improve the "quality of life" in blighted neighborhoods of federally designated cities. It is not a brick and mortar program of physical renewal, but a bold five-year experiment to concentrate private and public resources on the severe social and environmental problems of the so-called Model Neighborhoods in the approximately 150 participating cities. Model Cities seeks no less than community revitalization. Since education lies at the heart of durable and significant social changes, Model Cities merits the special attention of educators at all levels.

But Department of Education participation requires a word of explanation. Anyone familiar with the Demonstration Cities and Metropolitan Development Act of 1966, which authorizes the Model Cities Program, knows that states are given only fleeting reference in the legislation, that this direct federal-local program is administered by the U.S. Department of Housing and Urban Development (HUD), that no state agency has jurisdiction over Model Cities, let alone a department of education, that a new agency called a City Demonstration Agency (CDA) established as an arm of the Mayor's office has primary responsibility for Model Cities, that these CDA's, not school systems, are direct recipients of HUD funds; and that education has no earmarked share of HUD supplemental or action funds. What then, it is fair to ask, is a State Department of Education doing in the thick of Model Cities activities?

A deeper examination of the legislation and guidelines discloses several incentives to Department of Education's participation. The nine participating cities in New Jersey--Newark, Trenton, East Orange, Heboken, Atlantic City, Perth Amboy, Jersey City, Plainfield, and Paterson--have a special claim on Department attention as urban areas of severe need. Model Cities lays stress on urban change, innovation, and new mechanisms of coordination. It is an inter-agency effort in which HEW and other federal agencies actively participate. It operates on a strategy of concentration of resources, rather than spreading thin limited resources. It offers lead time to plan. It boasts substantial citizen participation in an orderly planning process. But granted that the Model Cities Program exhibits several attractive features, the role of a Department of Education remains to be explained. A brief account of the mechanics of the program may indicate key junctures for Department of Education intervention.

To direct the local program, a City Demonstration Agency (CDA) is established as an arm of municipal government to develop with neighborhood residents and local officials a comprehensive plan under a grant from HUD. Ordinarily the initial plan consists of a problem analysis, a statement of goals, a ranking of priorities within an agreed upon strategy, some projections over time, and a sheaf of proposals-cum-budgets for projects to be undertaken in the first action year. The comprehensive plan, addressing a

APPENDIX H Continued

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spectrum of needs from education to housing, is generally a full year's labor for CDA and residents involved in the planning process. When transmitted by the city fathers, reviewed by federal agencies and approved by HUD, the plan triggers supplemental or action funds to the city for the conduct of acceptable projects. The CDA, which is a planning and monitoring agency, not an operating agency, then negotiates contracts with delegate agencies to carry out the various projects, relying for the most part on the public school system for elementary and secondary education activities unless it is demonstrably unable or unwilling.

The Model Cities Program, which has been hailed as a forerunner of block grants because of its relative freedom from federal dictation and restrictive guidelines, has the defects of its virtues, as the saying is. It tends to reserve to local decision ticklish matters of priority allocation, program design, third-party contracting which often require hard bargaining among CDA staff, government officials, neighborhood residents, and professionals for their resolution. It may also be true that local officials have been so inured to categorical programming that the lifting of constraints sometimes reveals underneath a dearth of creative ideas. Education in Model Cities is not limited to remedial or compensatory programs. Its openendedness is its great promise, provided communities have the imagination for it. In addition, there runs through Model Cities literature another recurrent theme: CDA's are expected to identify legal, regulatory, and other impediments to change and seek means of removing them. CDA's are also constantly searching for sources of financial aid beyond the HUD supplemental funds to underwrite planned improvements. It is obvious that Model Cities cannot succeed without the cooperation and support of state agencies in these efforts, particularly since federal education funds are increasingly shifting to state administration.

The Department of Education entered into contract with HUD in June, 1969 to conduct a special pilot project to define a role for state education agencies in the Model Cities. The two-fold purpose was to provide technical and to the extent possible financial assistance. But more specifically, the project sought to bring school systems more fully into the Model Cities process, to mediate differences should they arise, to serve as a source of program ideas and practical suggestions, to help develop with residents and professionals strong educational projects and proposals, to identify sources of financial assistance for these projects, to build local capability, to facilitate negotiations with educational agencies, and to improve communications between the Department of Education and these inner-city neighborhoods.

These objectives emerged from a period of exploration and reconnaissance in the Model Neighborhood in Trenton and reflect what Model Cities required of the Department. But there is nothing altruistic in this Model Cities Project. The Project's mission is fully consistent with the Department's view of itself. Public schools would more likely participate in Model Cities with Department leadership and example. The Department would gain from the experience an increased sensitivity to urban problems, develop a reality base for its own planning, and earn a reputation for service. Model Cities represented to the Department an opportunity to examine its role in the urban centers. The critical literature on Departments of Education makes much of their insularity, their preoccupation with regulatory functions.

at the expense of service, their lack of effective planning, their non-urban orientation, and their tendency toward in-breeding by attracting to their ranks professional educators monotonously similar in background and experience. Put another way, it is not obvious from an examination of Departments of Education--the kinds of people they hire, the goals they set, and the way in which their resources are allocated--that there is a crisis in urban education.

The Model Cities Project sought help in recruiting racially integrated staff with urban education and community development experience, turning to Peace Corps, the Institute for Community Studies in New York, Ford Foundation, and others for leads and recommendations. These sources, off the well-worn track of state personnel offices, produced a remarkably diverse staff as at home in storefronts and church basements of the Model Neighborhoods as in superintendents' offices. While all had been teachers, their other work experiences had been richly varied. One had been executive director of the East Harlem Block Schools and a national consultant to Head Start Follow-through. Another had been a union organizer, educational program developer in Philadelphia ghettos, and member of the Temple University staff. Still another had been a street worker in a juvenile delinquency prevention project in Harlem and a teacher of adult education. The staff member whose case study appears later in this paper signed on as a virtually full-time intern from Teachers College, Columbia University, after teaching, counseling, and administrative experiences and a two-year stint with Peace Corps in Turkey. They represented an outreach staff for the Department to the inner-cities where talent, open attitudes, and industriousness would overcome residual doubts and suspicions. After all there was no reason to expect rejoicing in the ghettos over this Department intervention. On the contrary, one could expect residents to wonder where the Department had been all these years, whether the Department was not merely an apologist for school systems, what technical assistance might mean beyond a new set of guidelines. If the Model Cities Project was to be welcomed in the cities, it would be because of the kinds of professionals assigned to this helping task. Another important factor in preparing the way was Commissioner Marburger's reputation as a leader concerned for the cities. The Model Cities Project was a part of a broader urban strategy that the Commissioner had already set in motion.

The Model Cities Project had assumed two major responsibilities of which outreach technical assistance was one. The other was an attempt to secure funding for these urban districts and bring about a Department-wide commitment. A Coordinating Council for Model Cities was established in the Department as a vehicle of communication and coordination of Department planning and programming affecting the Model Cities. In addition, a major analysis of Department plans, procedures and fund allocations was undertaken by the Project's educational planners. This was more than a treasure hunt; it was a kind of Departmental self-study designed to ascertain how the Department as a whole could realign itself to urban districts. To the Model Cities it would signify the Department's willingness to change itself. The Model Cities Project would have an impact on the Department as well as the cities. The Model Cities Project was not to be missionary work.

PART II: DESIGN AND RATIONALE

Provide direct staff assistance to the New Jersey Model Cities in the Model Cities planning process as related to education. This involves helping the Model Cities to analyze their education needs and overcoming the problems and to develop strategies and approaches for reaching the goals. (From HUD contract)

Needs

During the first year of federally supported Model Cities planning in New Jersey (FY69), the State Department of Education was minimally involved in the Model Cities Program, mainly through participation in the State Model Cities inter-departmental group coordinated by the State Department of Community Affairs, and through the participation of the Project Coordinator, then Assistant Director of Planning, in the deliberations of the Trenton Model Cities education planning task force. As a result, an analysis of the major problems in Model Cities education planning was prepared, and a specific set of objectives established, based on the kind of assistance desired from the Department of Education. These objectives emerged:

1. To improve the working relationship between Local Education Agencies (LEA's) and City Demonstration Agencies (CDA's).

2. To improve the quality of education planning, including both the final plan and the process of planning.

3. To increase the flow of grant-in-aid funds in the area of education from all sources, state and federal, public and private, having an impact on Model Neighborhood residents in New Jersey.

Strategies:

To fulfill these objectives the Model Cities Project faced two major strategic questions:

1. What would be the most effective method of providing direct technical assistance to the Model Cities?

2. What would be the most effective method of increasing the flow of grant-in-aid funds to the Model Cities?

To provide effective technical assistance to the Model Cities, a field consultant model was designed in which an education planning specialist was assigned from the State Education Agency to work full-time in each CDA.

The Education Planning Specialists were given these major responsibilities:

1. Assist the CDA in the development and writing of the education component of the Model Cities Comprehensive Plan.

2. Advise the CDA on current innovations and successful practices in education that related to the problem analysis.

3. Identify funding sources for education projects, and assist the CDA in the preparation of applications for them.

4. Facilitate communication and cooperation between the local Superintendent of Schools, the local Board of Education, and the CDA.

5. Facilitate the involvement of teachers, students, administrators, and Model Neighborhood residents in the education planning process.

6. Assist the CDA in negotiations with Federal, State, and local education agencies.

At the same time, a central SEA-based support staff was established to provide to the field consultant information on funding sources and innovative projects, and answers to specific questions on education practices and Model Cities planning. In addition to the back-up support provided to the field staff, two in-house educational planners would analyze state plans with the purpose of:

1. Developing strategies for removing unnecessary state and local impediments, both regulatory and financial, to implementing Model Cities education plans.

2. Developing strategies for making the requirements of state plans pertinent to the needs of Model Cities.

3. Developing strategies and a timetable to facilitate the flow of New Jersey State Education funds into Model Cities.

A Co-ordinating Council, composed of Department Specialists in such areas as federal funding, school lunch programs, vocational, bilingual, and early childhood education, was formed to:

1. Review and comment on Model Cities education plans and proposals;

2. Brief Model Cities on relevant Department activities;

3. Provide special technical assistance to CDA's where required.

Rationale

The Model Cities Project strategies were designed to meet the three major problems encountered in Model Cities education planning. First, the relationship between an essentially non-education agency, the CDA, and an LEA was often strained. The problems in one community reached a climax when the Superintendent of Schools at a federal inter-agency review session on the completed Model Cities Plan, charged that the public schools had not been involved in the development of First Year Action Projects and that he wanted no part of the education section of the Plan.

APPENDIX H Continued

In addition to inter-agency problems, there are a number of conditions peculiar to the LEA-CDA relationship that tend to undermine the development of an effective relationship between them. One major factor is the differences in their constituencies, and therefore in their program priorities: the school system must relate to the entire local community, while the Model Cities Agency is responsible to only the Model Neighborhood. Public schools in this country have successfully insulated themselves against "outside" pressures while Model Cities Agencies are committed to widespread and meaningful citizen involvement in all aspects of their program. This difference in constituency can be especially painful when the majority community to which the public school system tends to respond is different racially and culturally from the minority community located in the Model Neighborhood, a situation present in most New Jersey Model Cities.

Yet the heart of the Model Cities Program is the negotiation between the Model Cities Agency (together with its citizen participation group) and existing service agencies to determine priority programs. There are, however, a number of additional factors mitigating the development of a workable negotiating relationship between LEA's and CDA's.

1. HUD planning guidelines for the "problem analysis" section of the Model Cities Plan yield a fairly one-sided description of the weaknesses and failures of the public school system, which can lead to a defensive, negative reaction to the Model Cities Agency by school officials.

2. Most public school systems in New Jersey Model Cities did not develop a good working relationship with the Community Action Agencies and CDA's were often viewed by school officials as just another anti-poverty agency seeking to usurp the prerogatives of the school system.

3. Most school systems in New Jersey, even in the larger cities, have very small central staffs, with little or no planning capacity. What staff is available is often forced to respond to daily crises. Many school officials viewed the Model Cities Program as another housing program designed to rebuild the inner-city areas, and not as a comprehensive, social and physical planning activity.

At the same time, however, education was selected as a high priority problem area by most Model Cities Agencies, working in concert with citizens from the Model Neighborhood; and approximately 25% of the Model Cities supplemental funds available was set aside for conduct of projects in the area of education. It is possible, of course, to design an education component that focuses on the needs of pre-school children and adults, thereby avoiding all contact with the public school system; but most Model Cities Agencies recognized the need to deal in some fashion with the problems faced by Model Neighborhood youth attending the public schools. The quality of the relationship between the Model Cities Agency and public school officials therefore is vital to effective implementation of Model Cities-financed projects operated by local Boards of Education. This relationship was viewed as one which the presence of an on-site field consultant backed by the State could help to improve.

APPENDIX H Continued

Second, experience in New Jersey during FY69 also indicated that there was a great need for improvement in the quality of education planning, both in the final product or plan, and the process by which the plan was developed. In some cases, there was little or no analysis of problems or strategy to carry out stated objectives, and in others, First Year Action Projects were sketchy, not innovative, and unrelated to the problem analysis. The education planning process often failed to involve effectively school officials and other education professionals, as well as Model Neighborhood citizens.

The small size of the HUD planning grants for initial staffing compared to the job required by HUD planning guidelines, and the low salary scales of local government compared to those of State and Federal Government and private industry, resulted in the hiring of young, relatively inexperienced planners in most Model Cities Agencies. The job of "Model Cities planning specialist" was a new and undefined vocation; a reservoir of competent, experienced planners in this field did not exist. And the immensity of the job--coordinating with agencies at the local, county, state, regional and federal levels, developing a relationship with Model Neighborhood residents and various professionals--often did not allow time for extensive research into innovative approaches to Model Neighborhood problems. The lack of technical expertise in the area of education programming, then, was identified as an important factor in determining the quality of education planning in New Jersey Model Cities.

A third major problem confronting the local Model Cities efforts across the State was (and is) the lack of sufficient resources to meet adequately the problems identified through the planning process. Federal and State grant-in-aid funds utilized by these cities, for example, often were focused on problems or clients outside of the Model Neighborhood, or were administered in such a way as to have very little positive impact upon the Model Neighborhood. Easily digestible information about Federal and State grants was not available, and the immense demands on the small CDA planning staff did not allow time for extensive excursions to State and Federal offices to identify sources of funds. In addition, HUD officials sometimes urged local Model Cities Agencies to plan only for the expenditure of Model Cities supplemental funds, and not for categorical grants-in-aid, thereby weakening the concept of Model Cities funds as "seed money" designed to bring a host of Federal and State grants into a particular neighborhood. In order to increase the flow of funds, then, the Department identified the need for more effective provision of information about grant-in-aid funds to Model Cities planners, and the need for strengthening the grantsmanship of Model Cities planners.

In conclusion, an analysis of the major problems of Model Cities education planning was made. It was found that the major needs of the Model Citieswere to strengthen CDA-LEA relations, improve the quality of education planning within the CDA and increase the flow of funds from the SEA to the Model Neighborhood education programs. SEA field consultants, or Education Planning Specialists, were deployed in the New Jersey Model Cities. The Model Cities Project's in-house staff focused on providing back-up support to the field staff and analyzing state plans in order to facilitate the flow of funds to Model Cities education programs. The Co-ordinating Council members reviewed on demand those Model Cities plans and proposals pertinent to their specific fields and provided special technical assistance to CDA's when requested.

APPENDIX II Continued

PART III: ROLE OF THE EDUCATION PLANNING SPECIALIST

A CASE-STUDY

The role of the Education Planning Specialist is complicated by the fact that he is a state consultant, assigned to the local CDA to bring the technical and financial resources of the State Education Agency to the Model Neighborhood. In fulfilling this task he must interact, not only with CDA staff, but with the local education agency, Model Neighborhood residents, HUD representatives and many other federal, state, local and private agencies. Where conflicts of interest appear, as they will, among these various groups, he must resolve them. Where gaps in communication exist, he must fill them. It is the aim of the Educational Planning Specialist to maximize the cooperation and coordination of these different agencies in order to realize the goals of the Model Neighborhood education programs.

Not only is the assignment of a state man full time in the community without precedent, but the direct contact between the Department of Education and a non-school agency is itself an innovation. As a State consultant, however, the Education Planning Specialist has two advantages. First, citizens view his opinions differently from those of, for example, CDA staff because, as a "State" man, he is detached from the local agencies. Secondly, he is closer to the source of funds and potentially valuable as an advocate for the city in the decision-making councils of the Department.

Therefore, in carrying out his duties most effectively, the Education Planning Specialist must preserve his neutrality in the face of local pressures and conflicts. Furthermore, he must bring his educational expertise to the Model Neighborhood but not usurp decision-making functions. To bring the LEA, CDA, Education Task Force and other agencies together to develop a meaningful program, the Education Planning Specialist must project the image of an "advisor", but use his status and skills to establish and maintain cooperation. Since he is without authority, he must rely on his professional know-how.

The following case study tells a more detailed story of an Education Planning Specialist, his role, his problems, and his accomplishments. The case study is based on the experiences of one of the Project's Education Planning Specialists in a Model City which shall be called "Midtown".

The Midtown case is typical in that it's problems of inter-agency relations, program development, and first time planning cut across all the Model Cities. It is atypical in that the CDA-LEA relations were unusually strained, the city is much smaller than other Model Cities and there is no large bureaucracy with which the Education Planning Specialist had to deal. Its size highlights the issues. This case study should be viewed as a chapter in a book--much had occurred before the arrival of the Education Planning Specialist, and much has happened since this case study was written.

APPENDIX H Continued

CASE STUDY

Midtown is an old city, and has some 45,000 inhabitants. Approximately one-third of the population is Puerto Rican.

The Education Planning Specialist

The Midtown Model Cities Agency was about one year old when the Project's Education Planning Specialist arrived on the scene. A completed comprehensive plan was undergoing revisions according to federal suggestions. From the outset of the Project, he was called a Model Cities Education Planning Specialist because planning was conceived of as central to his role. The planning process is central to Model Cities--a process through which community and school hammer out priorities and weld them into a strategy for action. This necessitated developing tactics to ensure an effective working relationship between the local CDA staff and the Superintendent of Schools, and to ensure meaningful citizen participation in the Model Cities planning process. Other objectives included exploiting technical and fiscal resources available to both the CDA and the LEA from state and federal sources, which, without special attention, might go unnoticed by the agencies. Under the guidance of the Education Planning Specialist, then, resources were to be found and used specifically to improve the quality of the CDA's education program planning, implementation, and evaluation processes.

The Education Planning Specialist was placed in the Midtown CDA office where, by a Memorandum of Agreement, he worked under the day-to-day supervision of the CDA Director. The State Department of Education Project Coordinator, in the Memorandum of Agreement, described the responsibilities of the Planning Specialist to the CDA Director as assisting the CDA staff in the writing of education components, advising the CDA staff on current successful innovations, locating new funding sources, and facilitating communication between the local Superintendent's office and CDA staff. To facilitate his job, the CDA agreed to provide the necessary office space, telephone and secretarial help as they would for regular members of their staff.

Before beginning work in Midtown, the Education Planning Specialist had been introduced to the local Superintendent as an employee of the New Jersey Department of Education. The Superintendent was told that the Education Planning Specialist would help coordinate education programs between the LEA and the CDA. The Superintendent, while not a signatory to the Memorandum of Agreement, was expected to be supportive of both the man and his mission.

APPENDIX H Continued

The placement of a State Department of Education employee at the local level is unique when compared to normal SEA operations. The SEA usually only provided consultants upon request. This placement produced several conflicting expectations from both the LEA and the CDA.

The LEA generally assumed that the Education Planning Specialist was an "information expert" on who ran particular programs, or more important, who controlled the money for specific projects. It was quite clear that to the LEA, "education planning", in the context of "specialist" from the SEA, was closely related to grantsmanship--the ability to write and get education proposals funded.

The Superintendent of Schools expected the Education Planning Specialist, as an employee of the State Department of Education, to interpret the role of the public schools to the Model Cities Agency. This was particularly interesting because it implied that the CDA did not understand public schools and because it placed the Planning Specialist in the position of ally and interpreter; he was called upon to explain, and in some cases to defend, public school practices to CDA staff members who frequently found those practices inexplicable and indefensible. The Education Planning Specialist, then, had to maintain a delicate balance, for to become too vigorous in his "interpretation" would jeopardize his credibility in the CDA, and to be hypercritical of the local public schools would raise questions of his integrity in the view of the Superintendent.

The Midtown CDA had very similar expectations of the Education Planning Specialist. There was the general expectation of information about projects and money that would be useful to the agency. As a CDA staff member, the Education Planning Specialist was engaged during his first few months in Midtown with writing education project descriptions that would be logically consistent with the overall goal of the CDA and that would also be educationally sound.

Since the Education Planning Specialist had his office in the CDA and was, in fact, considered an agency staff member, he was expected to interpret and at times to defend Model Cities education decisions, especially in public and to the LEA. In this sense he was a Model Cities advocate. This was particularly difficult in the area of controversial programs such as Street Academies. Nevertheless, the field staff member had to try to deal with that role without sacrificing his personal or professional integrity.

There were also the expectations of citizens to reckon with. During his first week in the agency, the Planning Specialist was introduced to the Midtown Education Task Force which consists of Model Neighborhood residents. The CDA Director announced that the Planning Specialist was an SEA employee who would help the Task Force develop its new education plan. (Part of the old one had been rejected by HUD). Task Force citizens, then, assumed that the Planning Specialist would in fact help write new project descriptions and, more important, would be able to negotiate the projects with the LEA and other delegate agencies.

APPENDIX II Continued

The expectations for the Education Planning Specialist, both on the part of the LEA and the CDA, were reasonably accurate reflections of needs. Placing a State Department of Education employee at the local level and in an extra-educational agency crystallized the needs of both the LEA and the CDA for general information about technical assistance, education programs and available dollars; it accentuated the need for logical and coherent planning; and it surfaced the need for inter-agency cooperation--the need for the LEA and CDA to talk with each other in order to discover on what issues they could agree.

Ambiguities and Conflicts

There are several conflicts and ambiguities inherent in any relationship between a CDA and an LEA. Midtown was no exception. The bases of these conflicts and ambiguities can be dichotomized for the sake of discussion. On the one hand there was an established institution, the LEA, with its goals and priorities. In Midtown, the schools have serviced the community for over seventy years. On the other hand the CDA, with its own set of goals and priorities, was the insurgent agency. Indeed, the CDA brings with it the promise of something new and dynamic; and with this promise there is an implicit criticism of what has gone on in the past. Model Cities is predicated on the idea that there are serious problems in the city and in the schools, and that there is a need for a new agency to help coordinate and re-focus the resources of many different agencies to solve the problems. (The LEA does not deny the problems; it does question the accusation that LEAs are responsible, or in some way caused the problems.) The first step in this new coordinating process is to determine what the problems are. In Midtown the problem analysis revealed that over half the children in the Model Neighborhood were reading below grade level and intimated (data were scarce) that there was a severe dropout problem, especially among Puerto Ricans, even before the children reached high school. It also indicated that the school facilities were deteriorating; most of the elementary schools were over fifty years old and overcrowded. And less than thirty percent of the students who graduated from Midtown High said they planned to go on to college. Although the original problem analysis did not discuss it, there was also a staff problem. Most of the teachers were older and themselves products of the Midtown schools. There was very little teacher turnover. The few positions that did become available were filled by local people. The result of the closed-staff policy could be professional stagnation. Ideas from the outside might have a difficult time penetrating the LEA. The Model Cities problem analysis indicated that there were few things right with the Midtown schools.

At the end of the first year of planning, and prior to the Education Planning Specialist's arrival, Midtown's Model Cities education plan was reviewed by HUD. At a HUD-city meeting, the Superintendent attacked the CDA for misrepresenting the schools in the problem analysis. He claimed that facts and figures were inaccurate and were cited deliberately to put the LEA in a bad light. He also accused the CDA of attempting to establish alternative education systems in the city without consulting or cooperating with the Board of Education. He charged that he had rarely been invited to

planning meetings nor had he been involved in any significant way in the decision-making process concerned with education. He concluded by saying that he would have difficulty supporting the CDA programs.

The CDA counter claimed that the LEA was unwilling to cooperate and ignored the CDA. Regardless of the relative merits of these charges and counter charges it was clear that there had been mistakes on both sides. The result was that by the end of the HUD-city meeting and at the start of the CDA's second year, the two agencies were polarized.

There were pressures on the agencies to depolarize. The CDA is an arm of the Mayor and as such is subject to his priorities. Midtown Model Cities represented over two million dollars of new money for the city. This meant new projects and new jobs for a community that was critically short of both. HUD also requires that the local CDA cooperate with existing agencies, especially the schools.

The Board of Education is appointed by the Mayor, and it is well known that the Board is generally responsive (although not absolutely) to the Mayor's requests. The LEA was also interested in tapping some of the Model Cities resources, if it could do so without loss of its traditional power. Therefore, one of the primary objectives for the Education Planning Specialist was to function as a third-party mediator and to establish a working relationship between the two agencies.

Dynamics of Model Cities Planning

From the beginning the Midtown Model Cities Agency had a difficult time with planning, for several reasons. When the city was first given its planning grant, the Mayor hired a Director, remarkably enough a man who was not a resident of the city, to start the initial planning phase. For reasons that are not altogether clear, the CDA Director did not immediately hire a complete staff which would ordinarily have been necessary to develop a comprehensive first-year plan. There were just four people including the Director himself. The major portion of the actual plan was done by outside consultants, none of whom had had much experience with education.

A consulting firm conducted a survey of the population; they collected data about income level, types of jobs, education level of heads of household, future plans, and level of satisfaction with various city agencies that served the community. Based on the results of these data, plus some information from the agencies themselves, a first-year action plan was written and presented to HUD.

Federal and State reactions to the Midtown Model Cities education plan were generally unsatisfactory. Some twenty-six education projects were proposed, but as many critics pointed out, there was little justification given for the projects. Representatives from the regional USOE and from

APPENDIX H Continued

the State Department of Education criticized the plan for having a "shopping list", which attempted to include everything that might sound good. There were too many projects and few had been carefully thought out. The Superintendent called the plan "pie-in-the-sky" planning which may account for the very weak support the LEA gave the original plan.

There were other problems too. As the list of projects grew during the planning process, the LEA was automatically considered as the operating agency. Yet the Superintendent charged that he was not involved in much of the planning and was not willing to give strong endorsement to the plan. (It should be noted here that there is a possibility that the Superintendent shied away from CDA planning, rather than being excluded by design or oversight. He might have thought of the CDA as another set of complex relationships which for any number of reasons he would not want to deal with.) However, a strong argument can be made for designing a planning process that would be impossible for the LEA to ignore. This would have been feasible, especially with the help from the Mayor. However, this was not done. When the Education Planning Specialist arrived in the fall of 1969, he found a disjointed CDA education plan and a very suspicious Superintendent.

Game Plan

In order to facilitate his day-to-day responsibilities, the Midtown Education Planning Specialist developed a game plan which essentially identified the initial conditions as he found them, set forth his goals, and outlined a strategy for fulfilling the goals.

Basically, the initial conditions fell into six categories:

1. The CDA was in flux, and the Director had just received permission from the Mayor to increase his staff. New people were coming into the agency every day and no provisions had been made for their orientation. Files were difficult to find. There were not enough telephones. As new people came into the office, they were assigned tasks of rewriting proposals based on the criticisms that had come from the Regional Interagency Coordinating Council (RICC). There was excitement and confusion.

2. The education projects were disjointed. The original list of twenty-six projects had been reduced to six projects, but there was little evidence of cohesiveness to the projects. The problem analysis on which the projects were supposedly based was weak, consisting of two pages of generalities. There was no focus to the plan, few objectives, and no strategy.

3. There was a poor, almost nonexistent, relationship between the CDA and the LEA. The Superintendent was unwilling to support most of the projects in which the Board of Education had been named as operating agency. Beyond the Superintendent and his staff, very few building level staff knew anything about the Model Cities education program.

Another project, a college outreach program, was designed to include the local college, which had previously remained aloof from the rest of the community. Here, students from the Model Neighborhood would have the opportunity to increase their skills in mathematics and science-related subjects. Finally the Planning Specialist helped to write a scholarship program description that would provide the necessary funds for the first year of college for selected needy Model Neighborhood students.

The next step was to establish a working relationship with the local school district. Essentially, the Planning Specialist suggested that he, the CDA Education Coordinator, and her assistant visit all the schools that serviced Model Neighborhood children to talk with principals, teachers, and students.

The Planning Specialist arranged a series of meetings at five schools. The Model Cities team met with the principals, visited classrooms, and spoke with teachers at faculty meetings. They answered questions about Model Cities and asked questions about the local problems in the school. The meetings went very well, and the Superintendent asked the Planning Specialist and the Education Coordinator to attend Title I advisory meetings. The Planning Specialist was also asked to talk with all the principals at a principals' meeting about Model Cities Programs.

There was another factor that was instrumental in improving the relations between the CDA and the LEA. As mentioned before, the Midtown School District was pressed for resources. The Planning Specialist sought to bring extra dollars to the district by identifying project funds for which the schools might be eligible. This included a teacher corps program, food money, and a Title III early childhood planning grant. At this time, these projects are in various stages of discussion; but nevertheless, they represent possible additional resources for the schools.

The results of this type of procedure are very difficult to measure. It does appear that there is a much better working relationship between the two agencies. This does not mean to imply that there is no tension, for indeed there is. However, there is now some indication of mutual respect; how far this will go depends on how the relations are handled in the future.

The final strategy step was concerned with the project negotiation process. With the exception of the schools, very few of the other delegate agencies named in the plan had had any more than a perfunctory contact with the CDA. The Planning Specialist immediately contacted all the agencies and started a series of meetings to work out the details of the projects. These negotiations were frequently complicated and time-consuming. For example, after five months of discussions with the New Jersey Department of Community Affairs Street Academy staff, it became apparent that they did not have the necessary funds to do what they said they could. The Planning Specialist urged the CDA Director to accept another agency to implement this program. As of this time, several others are being considered.

The first two project contracts to be signed in the Model Cities Agency have been in Education. The negotiation process is on-going. And even while these negotiations are in progress, the Planning Specialist and the Education Coordinator are already beginning to develop the new problem analysis.

APPENDIX B Continued

There are several very clear results of the Planning Specialist's tenure in Midtown. As previously stated there is a much better working relationship between the LEA and the CDA. But more important the Planning Specialist has established linkages between the Model Cities agency and the SEA that were non-existent before his arrival. The CDA staff now meets periodically with the Department of Education in-house staff and there is an exchange of information. The SEA in-house staff has a strong stake in making Midtown's Model City education plan work, and to this end they labor very hard to find new funds and to provide special technical assistance for the CDA education component, in particular the entire state plan analysis to facilitate the flow of state education funds into the model neighborhoods. The information from this analysis came through the Education Planning Specialist to Midtown thereby enhancing the strategic nature of his position and strengthening the linkage between the CDA and the SEA.

On another dimension the Planning Specialist continually emphasized the need for rational education planning in both the CDA and the LEA. He provided the Superintendent and the CDA Director with examples of coherent plans that made sense in Midtown. Moreover, he argued that the school system should develop a central office planning unit that would include professional education planners and citizens, especially from the Model Neighborhood. In attempting to fulfill this goal the Planning Specialist brought together the CDA education staff and the Superintendent to submit jointly a Title III planning proposal. The proposal was designed to develop a plan for a "nursery through grade three school" in the Model Neighborhood. The important aspect of the proposal was that it provided the money and a reason for the school people and the Model Cities staff, including Model Neighborhood citizens, to sit down and plan together. It is hoped that more joint planning activities and the requisite facilities will develop from this proposal.

Improving the quality of education planning, including both the final plan and the process of planning, is extremely difficult. Nevertheless, the Planning Specialist who can attend to the many details involved in the process at the local level is fundamental to successful local education planning.

The Midtown case study illustrates in vignette the dynamics of Model Cities and the role of a resourceful state agent. Subsequently, in an interview with the Model Cities Project Coordinator, the Midtown Superintendent stated that the Education Planning Specialist played a valuable role in improving CDA-LEA relationships and the quality of education planning. Both the Superintendent and the CDA Director wish the Education Planning Specialist's services to be continued by the Department of Education.

APPENDIX II Continued

Part IV: ANALYSIS OF STATE PLANNING

Concurrent with providing technical assistance in the field was the task of re-orienting the Department to provide more funds to Model Cities. This could, it seemed, be done by analyzing the system of allocating federal funds, and then by advocating Model Cities interest at key junctures within it. The complexity of this system and its apparent impenetrability, however, made it evident that our analyses would have to be exhaustive. As most federal grant-in-aid programs require State plans to assure implementation of regulatory requirements and to explain proposed expenditures, they seemed an excellent place to start. It seemed possible to actually link State and Model Cities planning processes, and thereby to assure an uninterrupted flow of funds to urban areas.

Therefore the Model Cities Project's in-house education planners set forth to accomplish the following tasks as specified in the HUD contract:

1. Develop a strategy to remove unnecessary state and local impediments, both regulatory and financial, to implementing Model Cities education plans and document the process employed. This is to include an analysis of state education plans with a view toward developing strategies to make their requirements pertinent to the needs of Model Cities.

2. Develop strategies and a timetable related to facilitating the flow of New Jersey State Education funds into Model Neighborhoods.

It was reasoned that State Plans synopsize the conditions under which grants are made. Not only do they summarize federal and state requirements, they also set forth how the Department will meet them. Even programs that do not have State Plans operate around equivalent guidelines and standards. If, then, State Plans are as important as they seem, merely to stage hold-ups for Model Cities would be inadequate to assure a continuing flow of funds to urban areas. What was needed was to secure Model Cities designation as a priority in State Plans.

To penetrate the ossified system which produces State Plans, however, it was necessary to open up the whole planning process in the Department, to push for coordinating resources, and, by so doing, tie Model Cities Project integrallyinto the decision-making structure. Three coordinate strategies were being put into gear in the Department: 1) to implement a central grants management system; 2) to conduct public educational needs assessment hearings; and 3) to standardize and broaden State Plan development. Each in its own way was intended to formulate and implement a set of Departmental priorities, one of which would be through Model Cities Project involvement, the inner-cities. These activities, the responsibility of other offices in the Department, were given impetus by the Model Cities Project.

State Plan analysis was the exclusive responsibility of the Model Cities Project, the major objects of which were, in order of specificity--

1. To identify provisions in State Plans which obstruct favoring programs in Model Cities, and press for their change or deletion.

2. To re-work allocation formulas to aid urban/poor areas generally.

3. To find out all relevant information about federal programs: what aid is available for which programs, how the programs are administered, what their capability is, what the timetables and deadlines for application are, what special conditions are imposed upon operation, etc.

4. To discover how the State Plan is developed: who is responsible for its writing, who contributes to its provisions, whether any hearings are held, what stages of review it must pass, etc.

5. To identify areas of State discretion in program administration and to push the Department into taking a more active role in implementing the Commissioner's priorities.

6. To reinterpret federal legislation, regulations, and guidelines in a way more compatible with a Model Cities/urban orientation, and to incorporate this reinterpretation into State Plans.

(See flowchart on page 3 for the procedure of gathering data.)

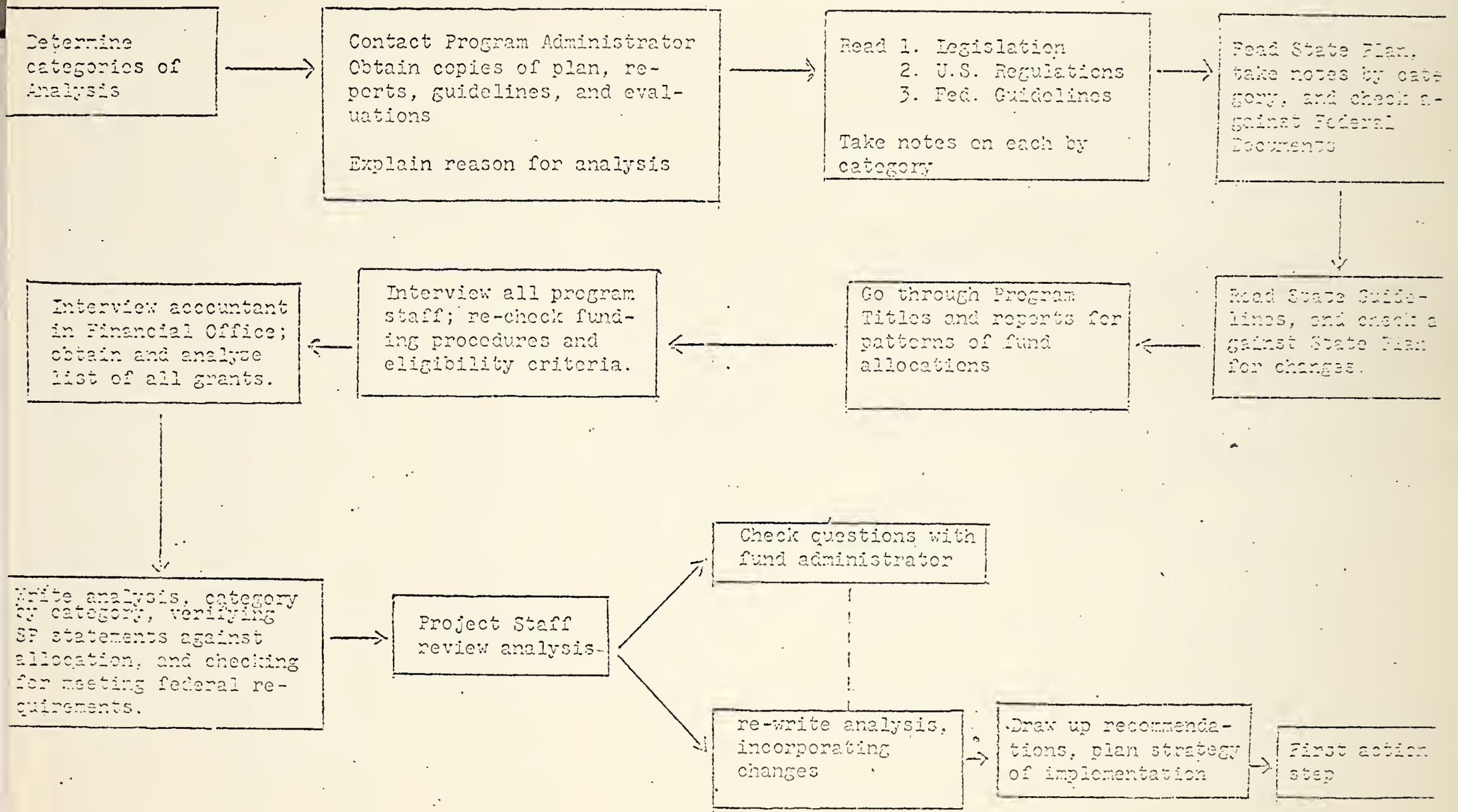
After a few such analyses were completed, it became clear that the major impediment to funding more programs in Model Cities, or urban areas generally, was the lack of orderly Department planning to meet state needs. As there is no centralized coordination of State Plan development, plans are drawn up independently of one another, each in a specialized office with its own narrow constituency. How decisions are made is well concealed, and lines of command are unclear. Timetables of application and submission are out of kilter and subject frequently to change. Trying to coordinate the development of programs for Adult Basic Education and High School Equivalency (for example) is like trying to catch a Paole Local transfer from Penn Central. This makes timely intervention in State Plan decisions extremely difficult; all too often an analysis was begun only to find that funds for the following year were already committed.

Applying for funds in such circumstances can be nightmarish. Ineligible itself to receive grants, and isolated from direct access to the Department by the LEA, a CDA is hard put to find out what funds are available and how to apply for them. Application deadlines are scattered all over the calendar, and a different administrator must be sought out and cultivated for each program.

These contingencies further strengthened our resolve to work through State Plan Development. Via the Project, CDAs were able to have the access to, and information about, the programs it needed to influence the LEA. Also, there seemed no other way to discover enough about the administrative/decision-making structure to change it. In any situation where communications are limited, information is at a premium and can be converted into leverage.

FLOWCHART OF STATE PLAN ANALYSIS

APPENDIX H Continued



APPENDIX H Continued

Strategy and Recommendations

Formulating a battle-plan was no easy matter. Short-run, immediate demands might yield quick results, but their effect would last only as long as the project. The real problem was not the State Plans intrinsically but the system in which they were imbedded. Hence, the push on two fronts: negotiating with the fund administrators on behalf of Model Cities, both in current allocations and in future State Plans, and working with the Commissioner and the Bureau of Grants Management Services to promulgate a set of clear and binding priorities.

How to deal with fund administrators was another problem. The Project's bureaucratic position left a grave deficiency in quids pro quos. The first attempt was, therefore, a soft-sell approach, which hoped to persuade, through rational dialogue, program staff to adopt a Model Cities/urban orientation. Perhaps this strategy stemmed from the "exhaust all administrative remedies" theory of change; anyhow, it seemed the least contentious way to begin. As it happened, small staff and limited life-span were probably more appropriate to waging surprise attacks than lengthy sieges. Certain attempts to conduct a series of negotiations when clearly outnumbered must have seemed untenable to the seasoned fund administrators on the other side of the table.

As it soon became clear this approach could not produce needed changes, alternatives were formulated.

1. Involve the Commissioner, and sympathetic Assistant Commissioners, to a much greater and more visible extent--through memoranda, meetings, personal calls, etc.--rather than rely merely on his "support." Not only would this make Model Cities' position clearer, but it also would place the fund administrator in a trajectory with the line of command.

2. Increase the exposure by local press and news services of departmental funding practices and planning procedures. Encourage the department to hold open hearings on programs and proposals. The project, which was virtually unknown in the state, could make its findings available to local groups through the CDAs, and by so doing, exert local pressure on the Department to change its policies.

3. Press for legislative change of programs where alteration of State Plans or funding procedures could not reverse a built-in non-urban orientation.

4. Encourage Washington and Regional offices to use their influence. This could be done, for example, by pointing out instances of misinterpreted federal requirements, especially in the formulation of "relative need," and by pressing for ear-marked funds to Model Cities.

5. Lobby the central grants monitoring office to build in more points of departmental intervention and required coordination with related offices in State Plan development, and in the project approval process. Make sure, from the beginning, that there is a Model Cities sign-off in the review stage.

APPENDIX H Continued

Although the recommendations to be implemented were specific to certain State Plans, they fell into broad categories, which were consolidated into a single format. The grid on page 6 capsulizes which ones are germane to what program.

1. General Communique (Alert):

   A letter sent from the fund administrator to local programs in Model Cities alerting them to the existence of the CDA, and encouraging their mutual cooperation.

2. State Advisory Council:

   At least one person representative of the poor, or of Model Neighborhoods, seated on the Council, if there is one.

3. Local Reciprocal Involvement:

   Co-operative planning and program development at the local level between the CDA and the local education agency.

4. Funding Priority:

   Allocation processes which favor areas where need is concentrated, such as Model Neighborhoods.

5. Joint Development (Sign-Off):

   Agreement of CDA to proposals/applications submitted to the Department for funding; or agreement of Project staff to State Plan, or programs approved for Model Cities.

6. Earmarking:

   Setting aside a specific portion of program funds for Model Cities Projects. This may be in addition to (4), or instead of.

7. Policy changes (Miscellaneous):

   More community involvement in local programs, changes in program emphasis or structure, greater state overseeing of local operation, etc.

Findings

As State Plan development is integral to the processes of the Department, the testing of the assumption/hypotheses about State Plans provided invaluable information about its decision-making structure.

APPENDIX H Continued

	General Communique (Alert)	State Advisory Council	Local Reciprocal Involvement	Funding Priority	Joint Development (Sign-off)	Earmarking	Policy Changes
ESEA I	X		X	X			X
ESEA II	X	X	X	X		X	X
ESEA III	X	X	X	X	X	X	X
ESEA V	X						
ESEA VI-A	X	X	X	X			X
VOC. ED.	X	X	X	X	X	X	X
NDEA III	X			X			X
NDEA V-A	X		X	X			X
EPDA	X		X		X		
ADULT ED.	X	X	X	X	X	X	X
FOOD SERVICES	X		X	X	X	X	X

1. State Plans, in themselves, are almost meaningless. They are sensible only alongside federal regulations and guidelines, and in any case do not picture program operations. They are not treated as public documents, and do not, therefore, serve the public information function intended for them.

2. Most State Plans do not assess state need, they merely assume it. Co-ordinately, federal funds are considered a means of expenditure rather than a resource. In fact, the State Plan is not a plan at all; it is, rather, a certification of compliance with federal requirements.

3. The State Plan sets forth the criteria for eligibility, proper application procedure, and general considerations taken in the approval process. How approvals are winnowed out and funds allocated is seldom explained.

4. State Plans are approved by the USOE, in a manner that varies from routine to rigorous with the administering division, but are not enforced. Their administration is monitored by the SEA office in which they were written.

5. After several years, state guidelines, policies, and precedents render the State Plan relatively inflexible, at least in the eyes of the program administrators. Only the actual approval/funding process remains discretionary, and the power this confers is reluctantly relinquished.

6. Without carefully gathered inside information--interviews with program staff, data from files, official financial reports--analysis cannot determine either the rationale or method of apportionment.

These findings, based as they were on widely shared assumptions, cast doubt whether State Plans serve the purposes for which they were intended. No state planning capability has been developed, as a survey and projection of need has not been mandated, nor has an assessment of total resources in relation to need been required. Consequently, cooperation with agencies offering related programs or potentially useful services has not increased. Furthermore, the lack of federal overseeing and state supervision of State Plans hinders their effectiveness to assure compliance with federal policies and to grant the U.S. Commissioner influence on program administration.

On the other hand, diversity among programs and their tailoring to state priorities have probably been encouraged. Whether this serves more effectively local needs is open to query. In New Jersey, "state need" tended to be treated as the sum of local needs, and "local need" as an average of "state need". Consequently, only average communities receive services congruent with their problems. Areas of need are further broken down by program, so that projects are parcelled out and conducted entirely independently of one another. Coordinated, concentrated attacks on syndromes of problems are beyond the pale in such a system.

Another impediment to writing a rational State Plan is that the relationship among federal legislation, regulations, guidelines and reports, and the State Plan, guidelines, and reports, is unclear. "Among" is used advisedly.

as the relationship is by no means two-sided. Familiarity with the [illegible] documents varies wildly at the State level, and State Plans often inaccurately reflect them. Coincidentally, there may be great divergence between the [illegible] Plan and the guidelines which supposedly implement it. The distance between federal intent and state action can be great indeed.

The problem is compounded when the legislation is complex, the regulations confusing, and the guidelines contradictory. While opportunities may seem many for broad, state-serving interpretation in such an instance, often fund administrators are too busy keeping financial records straight to strike out on their own. Any equilibrium they strike they perceive as too precarious to change. Where responsibility for administration is broadly diffused among federal, state, and local authorities, the situation is even more difficult. The Department's constituency is vocal, its professional canons rigid, and its political position unsteady. Consequently, any arrangements it can arrive at that satisfy these contingencies are adhered to in a manner reminiscent of stare decisis.

This rigidity of the program administrators, and their habits of guild-professionalism, have insulated them from the community they serve, and thus from any impetus to change. Defensive and resentful over the growing public dissatisfaction with the educational system, Department staff may become apathetic, even hostile, to the urban crisis causing it. Some seem to feel that trying to meet the cities' insatiable needs is pouring precious money down a rat hole. Suburbs are the way of the future and they should be prepared for it.

Long-ingrained opinion that educational need is universal and economic need irrelevant reinforces these attitudes. Diverting state or federal funds from a comparatively wealthy suburban district to improve a poor urban one is regarded as favoritism rather than compensation; two schools without libraries are considered equally deprived, even if one has a playground and a cafeteria and the other does not. Furthermore, standards rise constantly with acquisition, and so remain comfortably above averages. Nearly all New Jersey schools fall well below the national standard of ten library books per student and consequently, all are considered in need.

What this portends for Model Cities is not that obstructions to more programs cannot be removed, but that priorities are not easily installed. If exclusion is favoritism, then priorities are unfair. The problem is to convince the education professionals that some needs are more important than others, and that schools cannot be expected to do all things for all people. To do this requires a cunning combination of political pressure, persuasion, and improvisation.

APPENDIX II Continued

Despite the problems encountered in ambitious attempts to produce Department-wide changes under a one-year contract--the problems are proportionate to the ambitions--the Model Cities Project succeeded in significant ways:

1. State plans (or their equivalents) have been analyzed for all significant federal aid programs administered in the Department. In simplified form they could be especially useful to CDA's and LEA's as they clear away much of the mystery surrounding the several grant-in-aid programs.

2. Negotiations with the Commissioner's active support have led to changes in the ESEA Title III program, where Model Cities were designated a priority area and funding followed in six districts; in ESEA Title II, a relative need formula has replaced an across-the-board scheme, with the result that Model Cities gain a larger share of library funds; earmarking has been adopted as a policy in those programs identified from the analyses as having sufficient state discretion. And negotiations with fund administrators are continuing.

3. The Office of Planning, which is conducting a state-wide needs assessment, has cooperated with the Model Cities staff to include substantial participation by Model Neighborhood residents in the important program of goals formulation and priority setting for New Jersey.

4. The entire system of state plan development is undergoing improvement, with participation broadened to include Model Cities staff. Plans soon are expected to incorporate the state-wide priorities.

5. The newly created Bureau of Grants Management Services has worked with Model Cities staff to design a system of grants management as a means of monitoring grant awards for their compliance with state priorities. The Model Cities staff has been given responsibilities for reviewing proposals from Model Cities districts.

PART V: SUMMARY AND IMPLICATIONS

The New Jersey Department of Education under this contract has tried to do two things simultaneously--to provide on-site technical assistance to the Model Cities and to orient the Department itself to the special need for resources in the Model Neighborhoods. To fulfill the technical assistance mission, the Department designed a unique plan of action. Assigning Department of Education personnel full-time to local communities was without precedent. Installing these Department specialists in the CDA's was also a new departure. The rationale for this model (described at length in Part II) derived from the importance and magnitude of the planning job confronting CDA's, their short-handedness, and traditional problems of producing educational change through agencies outside of the school system struture.

School systems, with Department leadership and guidance, could be brought into constructive partnership in the Model Cities planning process. Indeed, it was imperative that schools become involved since what the CDA's planned, LEA's would ordinarily carry out. The development of effective working relationships could not be a matter of memos and phone calls alone or occasional visits. Moreover, the presence of SEA staff would legitimize CDA education activities in the eyes of professionally self-conscious educators.

From the Department's viewpoint, on-site staff would facilitate the mobilization of SEA resources, broaden the SEA's constituency, and serve as trained and experienced advisors on the knotty problems of producing change in the districts. The conventional wisdom held that LEA's would oppose SEA intervention on ideological grounds. That is, SEA on-site staff would run counter to and threaten local autonomy. In point of fact, no superintendent complained. On the contrary, LEA's acknowledged the effectiveness of state technical assistance. The "negative" evaluation from the absence of opposition may be traceable to the low profile of SEA field staff who served as advisors without authority, who deferred to local decision-makers, who worked with an orderly Model Cities process as professional consultants. But the unobtrusiveness does not explain the widespread approval of Superintendents and CDA Directors, as determined from personal interviews. The field staff performed useful functions that would have been more difficult without the state affiliation, their neutrality and their professional acceptability in terms of training and experience.

The pilot project has demonstrated the feasibility of this unusual model. It is of course the barest beginning, but it is a beginning. The moral may be simply that good men do good work. But the Department of Education has attracted good men for a challenging task and put them where the needs are. As a vehicle for delivery of technical assistance, this network of educational specialists has great potential.

Concurrent with field activities, the Model Cities Project provided back-up support and engaged in planning to secure additional resources for Model Cities. The Department of Education administers some twenty distinct and separate grant-in-aid programs. For the most part, each program has its own state plan, its own guidelines, its own deadlines, its own fund administrators. A CDA in search of funds and information confronts something of a

maze. There was no easy access, no "handle" on the Department. This really feudal structure presents problems for a school district as well, but the district has had more experience with the array of categorical grant programs, is part of the Department's constituency, and receives notices, bulletins and guidelines routinely. The CDA must master not only the intricacies of this Department's programs, but those of every other state and federal agency with funds that could aid Model Neighborhoods. Simply getting around to the program offices, getting to know fund administrators, becoming familiar with the major programs can be an arduous and time-consuming job.

The Model Cities Project accepted the profusion of programs as a given. The purpose was not to rail against the system or to sketch out a blueprint for top-to-bottom reform in the federal education aid structure. Instead, the Model Cities Project sought to identify areas of state discretion. How could the Department of Education, here and now, as administrator of these federal funds, do more to help Model Cities within the existing legal constraints? The Department of Education was not a pawn in this game. The federal laws did not dictate every state action. Within a given program the Department exercised some authority. The Model Cities Project undertook to pinpoint and then constructively influence the Department in the exercise of this authority.

The Department of Education wrote an annual "state plan" for many of these programs. What was in the State Plan? How much was repetition of federal requirements and how much was the state itself free to determine? What procedures were established to administer the program? Could they be improved? Even a strict formula grant program like ESEA Title I, which is less susceptible to changes, allows the SEA some discretion. AFDC figures could be used rather than census data alone. Funds unexpended or turned back could be reprogrammed for Model Cities. A state advisory council was not mandated, nor was it proscribed. There were still more changes within the power of the SEA to make to aid Model Cities.

So the Model Cities Project began with state plans, examined them in the light of the federal statutes, regulations and guidelines and, its analysis completed, made recommendations for change. The "state plan", though scarcely worthy of the name, was a useful point of entry. It opened on the wonderland of grant-in-aid administration. The results of the state plan analysis were immediate recommendations for adding Model Cities representatives to state advisory bodies, for adjusting formulas, for promoting LEA-CDA collaboration in the development of programs, and for sensitizing the Department to the special needs of Model Neighborhoods.

Recommendations were also made for the restructuring of the Department's grant-administration machinery. (Others in the Department, it should be emphasized, were already at work on several facets of this restructuring.) In brief, there should be state goals, which should be incorporated in every state plan and enforced in the grant approval process through a system of grants management. Model Cities, it hardly needs to be said, will be a priority goal. But the significance of these changes in Department administration which the Model Cities Project initiated or to which it gave impetus,

is that they will permit the Department to marshall resources for the accomplishment, not only of Model Cities assistance, but any state objective.

A major consequence of the adoption of the needs assessment, state plan development, and grants management scheme will be to place the onus of responsibility for assisting Model Cities, to a large extent, on the Department itself. The Model Cities Project meantime would ensure the dissemination of timely information on grants available to CDA's. On-site SEA field staff could work with LEA and CDA in the preparation of proposals for funding.

The changes recommended for each program and indeed the full-scale reformation of the SEA administrative structure, even if adopted in toto, would still take time. The Model Cities might not realize a substantial increase in funds in the immediate future. Therefore, earmarking commends itself as a complementary measure whose effects would be immediate.

Earmarking, such as HEW introduced, requires a set-aside of a fair share of discretionary funds for eligible agencies in Model Cities. It does not mean that monies are allocated without regard for quality. On the contrary, only proposals meeting criteria of approval are funded. Moreover, funds not expended for Model Cities, in the event approvable proposals are not submitted, can be reallocated. But earmarking recognizes the severity of need in Model Cities and gives them reasonable expectations against which to plan effectively.

In conclusion, the accomplishments of the Model Cities Project are as follows:

.. Eight trained and experienced SEA Consultants were deployed on-site in the New Jersey Model Cities.

.. A unit was created in the Department as a central point of contact for CDA's and as a clearinghouse for information on programs and funding.

.. Ten training sessions, in which CDA education planners participated, were conducted in the Department and occasionally around the state.

.. The level of funding in Model Cities was substantially increased in the past year.

.. Relationships between CDA's and LEA's were, in the opinion of CDA Directors and Superintendents, markedly improved.

.. The quality of education plans and programs was improved. Several innovative programs were planned with the assistance of SEA field staff--Model Schools in Newark, Project Plan in Atlantic City, Early Childhood in Trenton, Guaranteed Performance in Paterson.

APPENDIX H Continued

.. "State Plans" or their equivalents for the major grant-in-aid programs were analyzed and recommendations made.

.. Earmarking has been adopted as a strategy for the coming year.

.. The Model Cities Project has been elevated to an Office of Model Cities.

.. Internal Model Cities staff has participated in the major activities of the Department--goal setting, state plan development, and a grants management system.

.. Five other State Departments of Education have received the New Jersey materials, aided the Project with suggestions, and begun, in some cases, their own efforts to adapt innovations tried in the Project.

.. A Coordinating Council for Model Cities was established in the Department as a forum for the discussion of Model Cities education needs, for review of plans and provision of technical assistance, and as a means of orienting top staff to Model Cities programs and processes.

.. The processes followed in the implementation of this Project have been documented in eleven monthly reports.

.. Impediments in the SEA itself have been identified.

.. Inter-agency coordination has been stepped up--in the HEW earmarking process, in the RICC reviews of Model Cities submissions.

APPENDIX I

HUD-96 (7-66)
UNITED STATES GOVERNMENT

Memorandum

DEPARTMENT OF
HOUSING AND URBAN DEVELOPMENT

TO : Oscar Hims

DATE: February 6, 1970

In reply refer to:

FROM : Tom Israel

SUBJECT: New Jersey State Education
Technical Assistance Contract

During my visit to Philadelphia the past two days, I had an opportunity to talk to three New Jersey CDA Directors about our State education contract. I approach Jake Getson first and got a very negative response. He did qualify his skepticism by stating that Trenton was not receiving direct technical assistance under the contract presurably because the State Department feels that the Trenton CDA is strong enough without such help. Also, he reminded me that the State Department had "stolen" his education advisor to staff the contract. He feels that the staff people on the contract are considered a "spy system" for the Commissioner of Education who he believes is becoming increasingly isolated from educational realities in New Jersey.

The CDA Director in Jersey City was more optimistic. He has just completed negotiations with the State Department whereby the CDA will cost share the position with the State Department this year with the understanding that the CDA will pick up full cost next year. The individual will be jointly selected with the understanding that his expertise will be in secondary education and will serve as the CDA's staff second education advisor. This person will spend four days a week with the CDA and one day at the State Department.

In Newark, I learned that the situation is approximately the same as in Jersey City except that the individual has been at work for about four months. The CDA Director is quite pleased with his efforts to date.

While it still may be too early to make even a preliminary judgment, I have an uneasy feeling about this contract. If it only results in providing additional staff resources to CDAs on an 80% of time basis, I am certain that we can find a more

APPENDIX I Continued

efficient way to deliver this kind of help. I'd like to know specifically what sort of institutional changes are being brought about within the State Department. This, as I recall, was one of the primary thrusts of the program.

We ought to discuss this question at a very early date.

APPENDIX J

Mimeo

HUD-96 (7-66)
UNITED STATES GOVERNMENT

Memorandum

DEPARTMENT OF
HOUSING AND URBAN DEVELOPMENT

TO : Lawrence O. Houstoun, Jr.

DATE: July 1, 1970

THRU : Stanley L. Newman

In reply refer to:

FROM : John K. Jessup

SUBJECT: Why More State Education Money Does Not Go to Model Cities

State Education Agencies float midway between HEW's Office of Education and the Local Education Agencies (school boards and superintendents), sometimes serving a substantive function allocating Federal and State resources, sometimes acting as fiscal agents or conduits between OE and the LEAs, sometimes having only a nominal role in the Federal grant solicitation sequence. There is no truly comprehensive Federal bill in education, no tidy package offering uniform procedures across a range of categorical activities. State education departments, in writing State Plans for categorical programs or in administering grants, are often given wide latitude in interpreting Federal legislative intent. This in itself is apparently as members of the Congress wish it; Congresswoman Edith Green is a staunch advocate of State authority.?

The State education department frequently becomes atomized into a collection of grant-administering departments with individual pockets of authority, expertise and procedure. A local quest for project funding can become a laborious grant-by-grant "title search" for the right program, unless as sometimes happens (Texas, Pennsylvania, New Jersey) the State Commissioner for Education exercises leadership enough through his immediate staff to bring concrete direction to his agency. Commissioner Mauberger in New Jersey undertook an independent State-wide educational needs assessment which should lead to a State-wide ranking of priorities and strategies. This is virtually unheard of.

In FY 1969, OE provided $3.9 billion for program use in education, of which $3.5 billion was distributed to States by formula and the rest directly to Local Education Agencies or to individual users. This $3.5 billion was matched by perhaps another $1.2 billion in State-generated funds. Of the Federal $3.5 billion, $2

APPENDIX J Continued

billion went to 1965 Elementary and Secondary School Act programs, $0.62 billion to higher education and $0.23 billion to vocational education. Other important categories an applicant might consider: the Educational Professions Development Act, Adult Education Act, National Defense Education Act and the Library Service and Construction Act. Unless this array of opportunities has been somewhat rationalized at the State level, school principals and district superintendents are likely to turn for help on the basis of political hunch and personal contact, rather than of properly assessed needs. As a result, application and funding decisions may leave out the needs of the least vocal and the most neglected--the model neighborhood residents.

And State Education Departments develop their own clientele as well. The process suggested above increases the leverage which a State legislator or his committee can bring on fund administrators, since there are relatively few procedural absolutes. Such pressures today do not favor urban education needs, but rural or increasingly, suburban needs.

I recommend that the following measures be considered for nationwide program implementation by the Office of Education and State Education Agencies. I believe new OE guidelines would cover most cases, although appropriation increases may be necessary, e.g., in ESEA's Titles I, III or V programs for broad, State-wide needs assessments. Many changes would not come easily. (Incidentally, the New Jersey Model Cities project staff in the Education Department is working on a 50-page write-up, with appendices, due in late July, which will describe in greater detail the workings of basic Federal education programs and recommend administrative and legislative changes favoring Model Cities. Oscar Mims and OE's Neill Shedd are now working on another "cut" at the question.)

Long-Range

1. State-plan, formula grant programs usually do not give special weight to urban education needs in designing allocation formulas. Some money is given in equal shares by State, some is divided according to relative overall population, and some by relative student population. Only the ESEA Title I entitlement, to my knowledge, specifically mentions a condition affecting most consumers of urban education: low income. Title I requires an easily met minimum of 10 certifiably disadvantaged school-age children, living (not necessarily studying) in a school district, for that district to be eligible for funds. The campaign should get under way leading to a special preference favoring low-income area schools needing ESEA Titles I, III and V programs especially (summarized below).

APPENDIX J Continued

2. A State-wide educational needs assessment should be made a requirement for any ESEA or EPDA program funding whatever, updated every few years in the manner of the HUD Workable Program requirement. Currently, such an assessment is a prerequisite only for funding Supplement Centers and Services (demonstration projects) under ESEA Title III. State-wide, comprehensive needs assessments are not evidently required by any grant category, although Titles III and V make funds available for what is essentially that purpose. Such an assessment would at least confront State education departments with the need to exercise discretionary authority in the direction of compensatory education. Model Cities then become an opportunity instead of a threat or nuisance.

Shorter-Range

1. The feature of "broadly based advisory committees," prescribed at the State level for Title III funding, are a potential vehicle for CDA task force representation at the State level. Model neighborhood residents should be guaranteed minimum membership on State Title III advisory committees; analogous committees should be established where possible for other ESEA programs.

2. Local Education Agencies with jurisdiction over model neighborhood schools should be encouraged to form consortia or otherwise to band together for lobbying purposes and to compare notes. (This takes a lot of spadework for the necessary conversion to the Model Cities cause, and has not been tried even in New Jersey. OE and State exhortation, as a minimum, will be necessary.)

3. In cases where planning requirements of the CDA and LEA approach each other or coincide, HEW regulations should prescribe joint planning. Specific cases: ESEA Title I "comprehensive plans," submitted to OE through the State by each school district; Vocational Education Act's "5-year plan," similarly handled.

4. The Career Opportunities Program's instrument of a pre-application, shorter even than the CDA's project description but enough to tell the State and OE which track the project is on, should become standardized for all grant categories. Copies could be routed to appropriate CDAs greatly simplifying and improving concurrence procedures; State and OE desks administering grants would have time for more than the cursory review that now passes for State or Federal review.

APPENDIX J Continued

A Thumbnail Sketch of Major Grant Categories, and their Problems

ESEA Title I: Program for compensatory education, funded at over $1.0 billion in FY 1969. No specific State plan requirement. State serves as a fiscal conduit between LEAs and OE. The State has the right to raise or lower the application amount by 10%, and the responsibility to certify for OE that the application is in compliance with a diverse, 20-item list of OE requirements.

In New Jersey, prevailing local and State application deadlines give the State just one month for the entire State-wide review and certification procedure. A pre-application procedure would be particularly pertinent. I do not know if this time squeeze is typical, but it is typical for the State to have a very nominal role in application review.

This is a serious mistake, for Title I is one of the largest, most potentially useful grant categories--and one currently under heavy fire for misdirection of its funds by the LEAs away from poverty schools. Large-city school superintendents especially favor direct dealings with OE, where they are able to trap a disproportionate amount of funds. It will take legislation to interpose a system of true State-level authority in this program, although States already have Title I administration funds under 1967 authority, totalling 1% of the State program total or $150,000--whichever is larger.

New Jersey requires the 26 largest school districts to work with local advisory committees in Title I; this includes all New Jersey model neighborhood school districts. Such committees, once prescribed nationally by U.S. Education Commissioner Howe, soon because "recommended" in order to take "local conditions" into account. The New Jersey Model Cities project staff has used its influence to see that model neighborhood residents are represented on such committees, and this procedure might be formalized by State-level guideline or regulation in New Jersey and other cooperating States.

ESEA Title III: Intended for demonstration-purpose "supplemental centers and services." At one point administered entirely out of OE, the program was transferred to State control over 2 years at the instigation of Congresswoman Green. (The Budget Bureau reportedly retaliated by emptying out the program, which was funded at $510 million in FY 1968 and now $165 million in FY 1970. Our chief OE liaison person, Neill Shedd, does not think the program has a future.) OE claims that ever since it lost control over the program, project quality has diminished.

APPENDIX J Continued

The State Education Agency submits an annual State plan to OE, and reviews and approves annaul LEA Title III plans. The New Jersey project staff has obtained model neighborhood representation on the State Advisory Council for Title III, but again this could be formalized. Project evaluation offers another field for model neighborhood resident involvement, and is something negotiable within the State.

ESEA Title V: To strengthen Local Education Agency leadership resources; to help LEAs identify education needs and respond to them. No State plan; no advisory committees required, State or local. Ten percent of State apportionments go to LEAs direct, for which an LEA plan is required. The grant has primarily been used for extra staff hiring in New Jersey's State-level department branches, securely locking the funds in place. These funds can be used programmatically for a variety of uses: teacher preparation, teacher aide hire, State-wide measures of pupil achievement, specialized TA to individual schools, follow-through on Headstart gains and comprehensive planning grants to Local Education Agencies in metropolitan areas, to name a few. Work in this grant area, together with ESEA Title III, may offer a good Model Cities tie-in to State education. State-level Title V recruits, who are apparently shared around the divisions, might become Model Cities coordinators or advocates with the right sort of OE guide-line-writing.

ESEA Title VII: Financial assistance for assisting children aged 3-18 with limited English-speaking ability who are poor or in impoverished school districts. Run out of OE. Approvable programs include bilingual teaching, cultural history, bilingual vocational education. $7.5 million funding level in FY 1970. Recommendation: CDAs be informed of this program so that they can encourage appropriate LEAs to apply.

HUD-93 (7-66)
UNITED STATES GOVERNMENT

Memorandum

DEPARTMENT OF
HOUSING AND URBAN DEVELOPMENT

TO : Floyd H. Hyde
Assistant Secretary/MC

DATE: NOV 16 1970

In reply refer to:

FROM : Oscar L. Mims
Chief Education Advisor/MD

SUBJECT: Report on MC's Support for Black Colleges

Attached is the belated report to be submitted to the Federal Interagency Committee on Education concerning Model Cities' support to Black Colleges.

This report is the result of a meticulous analysis of all the approved projects of the 117 cities which had submitted plans as of July 1, 1970. More specifically, the data presented was acquired directly from the sketchy information found on the breakout sheets. Since the breakout sheets were often outdated and not always accurate, additional verifications were secured through direct conversations with the ADO, the Human Resources-State Coordinators and in a few instances with CDAs. Even with this elongated procedure the information presented in this report is not totally accurate.

Developing this report has highlighted two outstanding points:

1. Black colleges and universities have not played a significant role in the Model Cities process, and

2. HUD/MC should immediately implement a more efficient procedure to retrieve pertinent information.

Attachment

cc: MC FILES - 8226
Hyde - 8100
Dodge - 8128
Newman - 8134
Mims - 8134
Edwards - 8106
Sabatin - 8228

DE/OLMims/bjh 11/17/70

APPENDIX K Continued

REPORT ON MC'S SUPPORT FOR BLACK COLLEGES

Dave L. Mims

APPENDIX K Continued

TABLE OF CONTENTS

REPORT ON MODEL CITIES SUPPORT FOR BLACK COLLEGES

I. INTRODUCTION

The historieal prospective of Ameriea's eolleges and universities as related to the urban crisis has been argued and well documented during reeent years. Yet, the essential eonflicts and the internal contradictions over the purposes of universities are still unresolved in this country. Despite the enormous eompetition and conflicts among theories of higher edueation, it appears that the mission of our modern eolleges and universities must be a blend of (1) social serviees to help the real world, (2) pure researeh, and (3) vestiges of liberal culture.

To date, eolleges and universities are playing an increasing valuable role in the Model Cities proeess. There are several examples of colleges and universities whieh are donating their resources in the areas of planning, evaluation, research, training, eonsulting and use of facilities. As suspected, our Blaek eolleges and universities have not played a significant role in the Model Cities proeess. This report does not purport to explain or justify the reasons for this lack of substantial involvement. This report is limited to responding to the specific coneerns requested by the Federal Interageney Committee on Education (FICE) as conveyed by Assistant Seeretary Samuel C. Jackson in his memoranda dated August 20, 1970 and September 4, 1970. (See: Attaehments A and B)

II. BACKGROUND

A recent HUD/Model Cities survey revealed the following:

Attachment C disclosed that of the 45 States in the program 18 had Black colleges located in them. There were a total of 98 Black colleges located in these 18 States. The number of Black colleges in the States ranged from 1 in Delaware and Oklahoma to 13 in Alabama. These 18 States also represented 60 of the 147 cities which have been designated Model Cities. The number of Model Cities within the States ranged from 1 in the District of Columbia, Delaware, and Louisiana to 8 in Ohio and Texas. Interesting enough, the 98 Black colleges were located in 5 HUD Regions. The number of Black colleges in the 5 HUD Regions ranged from 2 in Region VII (Kansas City Office) and Region V (Chicago Office) to 56 in Region IV (Atlanta Office).

III. FY'70 SUPPORT FOR BLACK COLLEGES

Attachment D lists the Black colleges supported by Model Cities, a brief program description and the amount of money allocated to these colleges for FY'70. The individual project funds for Black colleges ranged from $20,000 (Tuskegee-R & D) to $245,793 (Xavier-Assistance other than R & D).

IV. PLAN TO ASSIST BLACK COLLEGES DURING THE NEXT 12 MONTHS

Goal: To substantially increase the level of involvement of the Black colleges in Model Cities.

Objective: To determine the desire and capabilities of the Black colleges in the areas of planning evaluation, training, research, use of facilities, and consulting capabilities.

V. A COMPARATIVE REPORT OF MODEL CITIES SUPPORT FOR BLACK COLLEGES AS CONTRASTED TO WHITE COLLEGES

Although some of the specific data requested by FICE are unavailable to totally complete the reporting forms, HUD/Model Cities allocated a total of $8,506,066 to 75 institutions of higher learning. The 8 Black colleges received $669,935 (8%) of the total. The attached forms provide a comparative analysis of Model Cities support for Black colleges as contrasted to White colleges.

VI. SUMMARY AND CONCLUSIONS

In summary, HUD/Model Cities has a deep concern for our country's Black colleges and universities, and is very anxious to have meaningful relationships develop on a continuing basis between Model Cities and our urban relateed institutions of higher learning. Although our Black colleges and universities have not played a significant role in the Model Cities process, it should be noted that since July 1, 1970 HUD/MC's concern for Black colleges has been demonstrated by the approval of new projects for Shaw University ($75,683), Norfolk State College ($10,000), Florida A & M ($70,000), Alabama A & M ($12,000) Federal City College-D.C. Teachers College ($239,000) and Texas Southern University ($300,000). It is the hope of Model Cities to move towards substantially increasing the level of involvement of our Black colleges during the next 12 months.

VII. RECOMMENDATIONS

HUD/MC should immediately implement the plan as described in Section IV of this report. Attachment E explains the plan in greater detail.

APPENDIX K Continued

List of 112 Institutions of Higher Education Attended Predominantly (or Traditionally) by Negroes, Fall 1970

State and Institution	Control	Level
Alabama		
Alabama A & M University	Public	4-year
Alabama Lutheran Academy and College	Private	2-year
Alabama State University	Public	4-year
Daniel Payne College	Private	4-year
Lomax Hannon College	Private	2-year
Miles College	Private	4-year
Mobile State Junior College	Public	2-year
Oakwood College	Private	4-year
Selma University	Private	2-year
Stillman College	Private	4-year
T. A. Lawson Junior College*	Public	2-year
Talladega College	Private	4-year
Tuskegee Institute	Private	4-year
Arkansas		
Arkansas A, M & N College	Public	4-year
Arkansas Baptist College	Private	4-year
Philander Smith College	Private	4-year
Shorter College	Private	2-year
Delaware		
Delaware State College	Public	4-year
District of Columbia		
D. C. Teachers College	Public	4-year
Federal City College	Public	4-year
Howard University	Private	4-year
Washington Technical Institute	Public	2-year
Florida		
Bethune-Cookman College	Private	4-year
Edward Waters College	Private	4-year
Florida A & M University	Public	4-year
Florida Memorial College	Private	4-year
Georgia		
Albany State College	Public	4-year
Atlanta University	Private	4-year+
Clark College	Private	4-year
Fort Valley State College	Public	4-year

*Formerly Wenonah State Junior College.
+Graduate and professional work only.

State and Institution	Control	Level
Interdenominational Theological Center	Private	4-year+
Morehouse College	Private	4-year
Morris Brown College	Private	4-year
Paine College	Private	4-year
Savannah State College	Public	4-year
Spelman College	Private	4-year
Kentucky		
Kentucky State College	Public	4-year
Simmons College	Private	4-year
Louisiana		
Dillard University	Private	4-year
Grambling College	Public	4-year
Southern University (3 campuses)	Public	4-year
Xavier University	Private	4-year
Maryland		
Bowie State College	Public	4-year
Coppin State College	Public	4-year
University of Maryland, Eastern Shore*	Public	4-year
Morgan State College	Public	4-year
Mississippi		
Alcorn A & M College	Public	4-year
Coahoma Junior College	Public	2-year
Jackson State College	Public	4-year
Mary Holmes Junior College	Private	2-year
Mississippi Industrial College	Private	4-year
Mississippi Valley State College	Public	4-year
Natchez Junior College	Private	2-year
Piney Woods Country Life School	Private	2-year
Prentiss Normal & Industrial Institute	Private	2-year
Rust College	Private	4-year
Saints Junior College	Private	2-year
T. J. Harris Junior College	Public	2-year
Tougaloo College	Private	4-year
Utica Junior College	Public	2-year
Missouri		
Lincoln University	Public	4-year
North Carolina		
Barber-Scotia College	Private	4-year
Bennett College	Private	4-year

+Graduate and professional work only.
*Formerly Maryland State College at Princess Anne.

State and Institution	Control	Level
Elizabeth City State University	Public	4-year
Fayetteville State University	Public	4-year
Johnson C. Smith University	Private	4-year
Kittrell College	Private	2-year
Livingstone College	Private	4-year
North Carolina A & T State University	Public	4-year
North Carolina Central University	Public	4-year
St. Augustine's College	Private	4-year
Shaw University	Private	4-year
Winston-Salem State University	Public	4-year
Ohio		
Central State University	Public	4-year
Wilberforce University	Private	4-year
Oklahoma		
Langston University	Public	4-year
Pennsylvania		
Cheyney State College	Public	4-year
Lincoln University	Private	4-year
South Carolina		
Allen University	Private	4-year
Benedict College	Private	4-year
Claflin College	Private	4-year
Clinton College	Private	2-year
Friendship Junior College	Private	2-year
Morris College	Private	4-year
South Carolina State College	Public	4-year
Voorhees College	Private	4-year
Tennessee		
Fisk University	Private	4-year
Knoxville College	Private	4-year
Lane College	Private	4-year
LeMoyne-Owen College	Private	4-year
Meharry Medical College	Private	4-year+
Morristown College	Private	2-year
Tennessee State University	Public	4-year
Texas		
Bishop College	Private	4-year
Butler College	Private	2-year
Huston-Tillotson College	Private	4-year
Jarvis Christian College	Private	4-year
Mary Allen Junior College	Private	2-year

+Professional school with limited undergraduate degree training.

State and Institution	Control	Level
Paul Quinn College	Private	4-year
Prairie View A & M College	Public	4-year
St. Phillip's College	Public	2-year
Southwestern Christian College	Private	2-year
Texas College	Private	4-year
Texas Southern University	Public	4-year
Wiley College	Private	4-year
Virginia		
Hampton Institute	Private	4-year
Norfolk State College	Public	4-year
St. Paul's College	Private	4-year
Virginia Seminary & College	Private	4-year
Virginia State College	Public	4-year
Virginia Union University	Private	4-year
West Virginia		
West Virginia State College	Public	4-year

FEDERAL AGENCIES AND BLACK COLLEGES INSTITUTIONAL ASSISTANCE: FISCAL YEAR 1970 PROGRAM DESCRIPTION

FEDERAL CITY COLLEGE - Washington, D. C.

Project: Drop-Out Prevention

Purpose: Preventive Methods to Reduce Drop-Out Rate

MC Funds: $35,000

FLORIDA A & M - Tampa, Florida

Project: Public Consultation

Purpose: (1) Expand Residents' Experience to Outside World;

(2) Publicize Model Cities Program to MN Residents and City-Wide;

(3) Facilitate MN Resident Participation in Planning Consultation.

MC Funds: $218,292,000

NORFOLK STATE - Norfolk, Virginia

Project: Health Manpower Development

Purpose: Recruit and Provide Financial Assistance for MN Residents for Professional Health Training

MC Funds: $47,142 (Sharing Contract of $94,284 with Old Dominion College)

NORTH CAROLINA A & T UNIVERSITY - Highpoint, North Carolina

Project: Cultural Arts Program

Purpose: Approximately 150 MN Residents are to be Involved in Workshops and Programs in the Arts.

MC Funds: $31,000

PAUL QUINN COLLEGE - Waco, Texas

Project: Black Studies

Purpose: Studies Program Open to 650 Undergraduates

MC Funds: $28,000

FEDERAL AGENCIES AND BLACK COLLEGES INSTITUTIONAL ASSISTANCE: FISCAL YEAR 1970 PROGRAM DESCRIPTION

FEDERAL CITY COLLEGE - Washington, D. C.

Project: Drop-Out Prevention

Purpose: Preventive Methods to Reduce Drop-Out Rate

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MC Funds: $31,000

PAUL QUINN COLLEGE - Waco, Texas

Project: Black Studies

Purpose: Studies Program Open to 650 Undergraduates

MC Funds: $26,000

PHILANDER-SMITH - Littlerock, Arkansas

Project: Career Opportunities

Purpose: Offers Academic Classes for Upward Mobility and Self Improvement

MC Funds: $45,000

TUSKEGEE INSTITUTE - Tuskegee, Alabama

Project: Building Systems Research

Purpose: Research on Various Building Materials to Determine the Most Economical Means of Constructing Low-Income Housing

MC Funds: $20,000

XAVIER UNIVERSITY - New Orleans, Louisiana

Project: Home Start

Purpose: Introduce Home Start into MN

MC Funds: $151,237

Project: Workshop Way

Purpose: Introduce Workshop Way to Public Schools

MC Funds: $94,000

APPENDIX K Continued

MODEL CITIES PROPOSAL

TO: Model Cities, Department of Housing and Urban Development

ATTENTION: Mr. Oscar Mims

FROM: Dr. Elias Blake, Jr., President
Institute for Services to Education, and
Dr. Martin D. Jenkins, Director
Office of Urban Affairs, American Council on Education

Abstract

The Institute for Services to Education and the American Council on Education requests a grant not to exceed $10,000 to conduct a two-day conference in January 1971 of approximately forty presidents of predominantly black colleges located in Model Cities areas.

Purpose

Numerous institutions of higher education throughout the nation are actively involved in various aspects of the Model Cities program at both the local and national levels. Only seven of the predominantly black institutions have received specific Model Cities grants. This is a situation which needs to be corrected. The predominantly black colleges, serving as they do, a largely disadvantaged minority group are in a particularly strategic position to contribute to the Model Cities objectives and program. Further, many of these institutions have resources and expertise not possessed by other types of colleges and universities.

The low incidence of the participation of the predominantly black colleges in the Model Cities program is to be attributed to lack of knowledge by the institutions of the available opportunities.

It is proposed that a conference be held for the following purposes: (1) to advise the top-level leadership of predominantly black colleges of the Model Cities program and of the opportunities provided for participation of

institutions of higher education at both the local and national levels; (2) to encourage the institutions to take immediate steps to implement initial and continuing participation; (3) to provide a basis for developing specific projects at the local and national levels in which the predominantly black colleges can participate and assume leadership.

The Proposed Conference

The Conference will be held in Washington over a two-day period in January 1971. Approximately forty presidents of predominantly black colleges located in or near Model Cities centers and the presidents or directors of four organizations serving the precominantly black colleges will be invited to attend. The presentations will be made chiefly by Model Cities staff. The proceedings of the Conference will be summarized and provided the participants for use at their respective institutions. The Conference will be jointly sponsored by the Institute for Services to Education, Dr. Elias Blake, Jr., President; and the American Council on Education through its Office of Urban Affairs, Dr. Martin D. Jenkins, Director. The staff of the two sponsoring organizations will administer the Conference and related activities. Fiscal administration will be provided by the Institute for Services to Education. Descriptions of these organizations are appended.

We are convinced that the proposed Conference will be highly beneficial both to the Model Cities Administration and to the predominantly black institutions of higher education.

The Budget

The budget includes the following items:

1. Travel for forty presidents with an average trip of $100.
2. Two days of per diem at $25 per day.

3. There will be a need for orientation of Model Cities officials on the most effective presentations for the meeting. Some of these persons will come from outside ISE's and ACE's current staff. For prompt editing and writing up of recommendations and proceedings from the Conference, special help will be needed. Consultants will be used in both instances.

4. Indirect costs cover Dr. Jenkins and Dr. Blake's input plus necessary conference facilities and arrangements. In addition, processing of travel reimbursements, conference planning, and execution costs.

40 persons @ $100/trip (average)	$4,000
40 persons 2 days per diem @ $25	2,000
Consultants, Conference Planning, and Conference Report	1,400
	$7,400
Indirect Cost @ 35% of T.D.C.	2,590
T O T A L	$9,990

APPENDIX L

NUMERICAL INDEX OF MODEL CITIES ISSUANCES

Classification Number	Title
CDA Letter No. 1	Model Cities Planning Requirements
MCGR 3100.2A (CDA Letter No. 2 Revised)	Administrative Policies and Procedures
MCGR 3100.3 (CDA Letter No. 3)	Citizen Participation
MCGR 3100.4 (CDA Letter No. 4)	Comprehensive Program Submission Requirements
MCGR 3100.5 (CDA Letter No. 5)	Policies and Requirements for Model Cities Relocation
MCGR 3100.6 (CDA Letter No. 6)	Budget Submission Requirements
MCGR 3100.7 (CDA Letter No. 7)	Computation of the Base for the Supplemental Grant
MCGR 3100.8 (CDA Letter No. 8)	Administrative and Legal Policies and Procedures for the Execution Phase
MCGR 3100.8 (CDA Letter No. 8, Part II)	Accounting and Financial Management Procedures for the Execution Phase of the Model Cities Program
MCGR 3100.9 (CDA Letter No. 9)	Model Cities Program Execution Phase Program Reporting
DIR 3110.1 (TAB No. 1)	A Model Cities Guide
MCGR G 3110.1 (TAB No. 2)	Measures of Living Quality in Model Neighborhoods
MCGR G 3110.3 (TAB No. 3)	Citizen Participation in Model Cities